

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-040-79-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 01/24/2022

## **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active

## **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 7 was superseded by N1-040-92-005, item 38  
Item 17 was superseded by N1-040-92-005, item 1  
Item 18 was superseded by N1-040-92-005, item 2  
Item 19 was superseded by N1-040-92-005, item 8  
Item 30 was superseded by N1-040-92-005, item 35  
Item 32 was superseded by N1-040-92-005, item 28  
Item 53 was superseded by N1-040-92-005, item 13  
Item 61 was superseded by N1-040-92-005, item 15  
Item 61 was superseded by N1-040-92-005, item 20  
Item 77 was superseded by N1-040-92-005, item 17  
Item 83 was superseded by NC1-040-85-01, item 1  
Item 84 was superseded by NC1-040-85-01, item 6  
Item 85 was superseded by NC1-040-85-01, item 1  
Item 88 was superseded by NC1-040-85-01, item 5  
Item 89 was superseded by NC1-040-85-01, item 3  
Item 90 was superseded by NC1-040-85-01, item 7  
Item 91 was superseded by NC1-040-85-01, item 8  
Items 93-95 were superseded by NC1-040-85-01, item 3

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 98 was superseded by NC1-040-85-01, item 3  
Item 101 was superseded by NC1-040-85-01, item 3  
Item 102 was superseded by NC1-040-85-01, item 11  
Item 104 was superseded by NC1-040-85-01, item 9  
Item 106 was superseded by NC1-040-85-01, item 10  
Item 107 was superseded by NC1-040-85-01, item 12  
Item 110 was superseded by NC1-040-85-01, item 13  
Item 111 was superseded by NC1-040-85-01, item 14  
Item 112 was superseded by NC1-040-85-01, item 16  
Item 113 was superseded by NC1-040-85-01, item 18  
Item 114 was superseded by NC1-040-85-01, item 3  
Item 115 was superseded by NC1-040-85-01, item 20  
Item 116 was superseded by NC1-040-85-01, item 19  
Item 159 was superseded by N1-040-01-001, item 1  
Item 161 was superseded by N1-040-01-001, item 3  
Item 165 was superseded by N1-040-01-001, item 5  
Items 172, 173, 174 were superseded by N1-040-92-004, items 1, 2, 3  
Item 185 was superseded by N1-040-01-004, item 1  
Item 189 was superseded by N1-040-01-004, item 1  
Item 204 was superseded by N1-040-97-002, item 1  
Item 213 was superseded by N1-040-97-002, item 2  
Item 383 was superseded by N1-040-97-002, item 3  
Item 384 was superseded by N1-040-97-002, item 4  
Item 421 was superseded by NC1-040-82-01, item 2  
Item 595 was superseded by N1-040-92-005, item 20

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

NCD COPY

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

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Commerce

2. MAJOR SUBDIVISION

Office of the Secretary

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Ivy V. Parr

5. TEL. EXT.

377-3630

JOB NO

NC1-40-79-1

DATE RECEIVED

December 4, 1978

NOTIFICATION TO AGENCY

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

OCT 5 1979

Date *Walter A. Stender*  
**ACTIVE** 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 2.33 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 <i>11-30-78</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ivy V. Parr</i>	E. TITLE Departmental Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>OFFICE OF THE SECRETARY</u></p> <p><u>General.</u> The Office of the Secretary is the general management arm of the Department and provides the principal support to the Secretary in formulating policy and in providing advice to the President. It provides program leadership for the Department's functions and exercises general supervision over the operating units. It also directly carries out program functions as may be assigned by the Secretary from time to time, and provides, as determined to be more economical or efficient, administrative and other support services for designated operating units.</p> <p><u>Organization.</u> The Office of the Secretary consists of the Secretary and the Secretarial officers, designated staff immediately serving these officials, and a number of Departmental offices which have Department-wide functions or perform special program functions directly on behalf of the Secretary.</p>	838 items	

*11/2-18-79*

The Secretarial Officers consist of the Under Secretary, Assistant Secretaries who are responsible for a particular program area of the Department such as Science and Technology or Industry and Trade or for overall Department-wide functions, such as the Assistant Secretary for Administration, or the General Counsel.

The Under Secretary serves as the principal deputy of the Secretary in all matters affecting the Department, and performs continuing and special duties as the Secretary may assign from time to time, including, as may be specified by the Secretary, the exercise of policy direction and general supervision over operating units not placed under other Secretarial Officers.

The Schedule covers only the records of those Secretarial Officers that have been placed in Record Group 40 by the National Archives and Records Service. The records of the other program Secretarial Officers not included are included in the schedules for their particular programs.

History. Though the Department of Commerce was not established until 1903, some of its programs were in existence during the earliest days of our Federal Government. For example, in 1790, the first census of population was taken, and also during that year the Government issued its first patent.

The Department was actually established in February 1903 when President Theodore Roosevelt signed legislation establishing a Department of Commerce and Labor. Its founding was largely the result of interest expressed by the National Association of Manufacturers (in 1896), and of the "Open Door" policy of President McKinley of actively promoting exports and other U.S. business interests abroad. The first Secretary of Commerce and Labor was George B. Cortelyou, serving February 18, 1903 through June 30, 1904.

With the election of Woodrow Wilson, in 1913 the Department of Labor was established as a separate Cabinet Department. The labor movement, under Samuel Gompers, had opposed placing labor under commerce in 1903. William C. Redfield, who served as Secretary from March 5, 1913 through October 31, 1919, thus became the first Secretary of Commerce per se. The third Secretary, Herbert Hoover, held the post for 7-1/2 years from March 5, 1921 through August 21, 1928, longer than any other incumbent to date.



At the time of this writing, the Office of the Secretary is a large and complex organization. There are 27 major entries in the Department telephone directory for the various organizational units comprising the Office of the Secretary in addition to the immediate offices of the Secretary and Under Secretary, and a total of 1267 full-time employees were on-hand as of April 1978.

Binder. The schedule is presented in a format reflecting the organization of the Office of the Secretary at the time of this writing. However, a change of title or organizational location of any unit or any reorganization shall have no effect as long as the files described herein continue to accumulate and serve the same purpose.

The provisions of the General Records Schedule issued by the General Services Administration are hereby superseded, since this Office of the Secretary schedule includes all general and housekeeping records that are currently accumulating in the Office of the Secretary.

This Records Control Schedule is thus the sole authority for the legal disposition of any and all Office of the Secretary records.

THIS IS NCD DOSSIER COPY

**U S. DEPARTMENT OF COMMERCE  
OFFICE OF THE SECRETARY**

NC1-40-79-1

**RECORDS CONTROL  
SCHEDULE**



**ASSISTANT SECRETARY FOR ADMINISTRATION**

**OFFICE OF ADMINISTRATIVE SERVICES**

**AND PROCUREMENT  
RECORDS MANAGEMENT DIVISION**

NOVEMBER, 1978

SECRETARY'S OFFICE

1. Selected Subject File. Documents pertaining to matters personally handled by the Secretary because of their international or national significance or political sensitivity. Also included are papers pertaining to the internal operation and organization of the immediate Office of the Secretary. Arranged alphabetically by subject and by date.

Permanent. Retire to the Staging and Holding Area (SHA) when there is a change of Secretary. Transfer to the Washington National Records Center (WNRC) 5 years later. Offer for transfer to the National Archives 20 years thereafter.

2. Cabinet File. Consists of Cabinet papers and agenda, transcripts, reports, and the like of Cabinet meetings, and of Cabinet-level committees and subcommittees of special interest to the Secretary and the Department.

Permanent. Retire to SHA when there is a change of Secretary. Transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

3. Administrative Subject File. The file consists of office copies of documents relating to internal house-keeping activities of the Secretary's Office, such as personnel, time and attendance, travel, requisitions for supplies or services, and similar housekeeping matters.

Dispose of when 2 years old.

Executive Assistant to the Secretary

4. Executive Subject File. Documents created by the incumbent relating to assignments by the Secretary, with special emphasis on domestic affairs, including economic problems, employment, health, housing, and recruitment for top level positions. Also included are background papers on a study made of the Executive Reserve. Alphabetic by subject.

Permanent. Start a new file and retire to SHA when there is a change of incumbent. Transfer to WNRC 4 years later. Transfer to the National Archives 20 years thereafter.

5. Review File. Comprises copies of all papers prepared for the Secretary's signature which are reviewed for responsiveness and other factors.

Dispose 1 month after final action on subject document.

#### Assistant to the Secretary

6. Program Subject File. Documents reflecting the wide variety of developmental and other assignments given the Assistant to the Secretary by the Secretary, with special emphasis on such areas as urban development policy, energy program, minority enterprises and hiring, public and private interest groups, reorganizations, cities, state and local governments, interagency relationships and coordination, and the White House Conference on Economic Development and Balanced Growth.

Much of the file reflects the work of the Assistant to the Secretary in representing the Secretary on various conferences, committees, groups, projects, or task forces in the development of various administration programs, such as the records of the Interagency Urban and Regional Policy Group.

The file is arranged alphabetically by subject topic.

Permanent. Retire to SHA upon change of Administration. Transfer to WNRC 2 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

7. Applicants File. Applications, career and political resumes of professional and top level personnel directed to the attention of the Secretary by the White House and other sources for consideration.

a. Successful applicants - Forward to the Office of Personnel for inclusion in Official Personnel Folder.

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

8. Speech Files. The file consists of copies of speeches of the Secretary prepared by the Assistant to the Secretary together with travel documentation and arrangements, covering the travel to various locations where certain of the speeches were given. Record copies of speeches are maintained in the News Room of the Office of Public Affairs.

Retire to SHA upon change of Administration.  
Dispose of 2 years later.

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Special Assistant to the Secretary

9. General Subject File. Documentation concerning the Department's relationships with elements of the news media and with news oriented organizations or individuals. Also includes papers collected by the Department's representative on the Information Advisory Committee.

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

10. Secretary's Speech File. Includes copies of the Secretary's speeches, clippings and other news items about them, and backup papers with correspondence showing the reaction of the public to various speeches or statements.

Retire to SHA when there is a change of Secretary. Dispose 2 years later.

11. Secretary's Correspondence File. Letters and memoranda containing information about the Secretary, availability of the Secretary for public appearances and similar information.

Start a new file every 2 years. Retire to SHA and dispose 3 years later.

## White House Fellow

12. Program Subject File. Documentation pertaining to such program areas as the Secretary may assign or of particular interest to the fellow assigned to the Department for the one-year fellowship, such as women's programs, minority programs and the like. Some representative subjects include: Capital Development, Commerce Cities Project, Commerce Council Meetings, Corporate Social Performance Task Force, Interagency Council, Local Public Works, Minority Business Leaders Conference, OMBE Reorganization, and Secretarial Briefing Materials.

Retire to SHA 1 year after change of Fellow.  
Transfer to WNRC 1 year later. Dispose of  
when 10 years old.

13. President's Commission on Fellowship Program File. Records pertaining to the centrally directed program for White House Fellows including such materials as the monthly calendar of events, biographic materials of persons who will be met, travel folders on various trips taken as part of the fellowship, and briefing materials regarding the program.

Retire to SHA upon change of Fellow. Dispose  
of when 3 years old.

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## Protocol Office

14. Official Visit File. The file consists of materials relating to the visits of officials or delegations from foreign countries to the Secretary, Under Secretary, or Secretarial Officers. It includes records on arrangements covering their stay while officially visiting the Department, such as luncheons, dinners or receptions, schedule of appointments and meetings, list of individuals in official delegation, and gifts presented to visitors. Arranged alphabetically by name of country.

Permanent. Retire to SHA 4 years after change  
of Secretary. Transfer to WNRC 5 years later.  
Offer for transfer to the National Archives  
20 years thereafter.

15. Official Entertainment File. The file consists of materials on various types of occasions involving the Secretary, Under Secretary, Secretarial Officers, or selected officials, such as official luncheons, receptions, and dinners as well as swearing-in, and departure. It includes materials on facilities for such affairs, and serves as a guide in making arrangements for similar future affairs.

Retire to SHA when 5 years old. Dispose of 5 years thereafter.

16. Official Gift File. Consists of records relating to gifts of over minimum value (\$100) received by the Secretary, Under Secretary, or Secretarial Officers. It includes records on the receipt of such gifts and the official disposition made of gifts. The file is broken to reflect the formal disposition of gifts.

Dispose of 10 years after disposition of the gift involved.

#### Executive Secretariat

17. Secretariat Program Operations File. The file consists of photocopies of controlled incoming correspondence directed to the Secretary or Under Secretary, or Congressional referrals addressed to the Office of Congressional Affairs, and copies of replies thereto, documenting the involvement of these top officials in various Departmental programs. The file contains in one collection photocopies and carbon copies of correspondence involved in Secretarial mail control. The original incoming letters and record copies of outgoing correspondence are maintained in the action office that prepared them.

The file includes subjectively filed correspondence from the private sector; correspondence with other government agencies arranged alphabetically by name of agency; alphabetically arranged correspondence with the Congress and its committees and with the White House; alphabetically arranged correspondence relating to committees, boards, councils, and commissions; and alphabetically arranged periodic or special reports requested or initiated by the Secretary's Office.

Included with the file is the record copy set of the manual mail control card records.

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

18. Security Classified Subject File. These are comprised of typescript, processed, and photocopies of incoming documents with copies of replies. The papers come from sources inside the Department and from other government agencies including the White House. Alphabetic by subject.

Permanent. Start a new file every year and retire to SHA when 2 years old. Transfer to WNRC 3 years later. Offer for transfer to NARS 20 years thereafter.

19. Administrative Subject File. The file consists of office copies of materials pertaining to internal housekeeping matters such as time and attendance report, requisitions for equipment and supplies, and periodic or special mail control status reports, and similar housekeeping materials.

Dispose of when 2 years old.

UNDER SECRETARY

20. Program and Policy Direction Subject File. Documentation of program, policy, and other top level matters collected in the process of providing executive direction to the Department. Arranged alphabetically by subject topic.

Permanent. Start a new file every 2 years, retire to SHA, and transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose when 2 years old.



OFFICE OF REGIONAL AFFAIRS  
AND PROGRAM COORDINATION

The Office of Regional Affairs and Program Coordination shall be headed by the Deputy Under Secretary of Commerce, who shall report and be responsible to the Secretary.

The Deputy Under Secretary shall:

- a. Provide coordination and assistance, on behalf of the Secretary to the Federal Cochairmen of the Regional Commissions and the Secretarial Representatives.
- b. Provide a central point of contact and outreach, in Washington and in the regions, for constituents of the Department.
- c. Assist the Department to be aware of, and responsive to, the needs and concerns of constituents.
- d. Involve constituents, as appropriate, in Department policy-making and program development. Insure their awareness of Department resources, policies, and programs.
- e. Convene meetings of representatives of constituents, and of Department officials, as necessary to comment on significant Department policies and programs, to resolve problems and improve coordination in areas affecting more than one major element of the Department.
- f. Assist the Under Secretary in that official's functions as a member of the Under Secretaries Group of Regional Operations pursuant to Executive Order 11982 of January 1, 1976; participate in the intergovernmental relations activities of the Department, both in Washington and in the regions, and serve as the Department's liaison with individual governors and mayors.
- g. Assist in the coordination and development of new programs, approaches, or systems for meeting the Department's goals involving two or more operating units.

h. Work to improve the coordinated impact of the programs of two or more operating units, both in Washington and in the field.

i. Encourage improved coordination, cooperation and support among the various field elements of the Department and with the Regional Commissions.

j. Chair a subcommittee of the Department's Minority Business Program Committee to monitor the field implementation of the Committee's program.

k. Chair the Department's Field Coordination Committee composed of the Deputy Under Secretary and the officials responsible for field operations in each major element of the Department.

l. Direct the activities of the Offices of State and Local Government Assistance and Program Coordination, such special projects and Secretarial Programs as shall be assigned to the Office of Regional Affairs and Program Coordination and, as Special Assistant for Regional Economic Coordination, the Office of Regional Economic Coordination.

22. Deputy Under Secretary Program Subject File. This central file of the Office reflects the activities of the Deputy Under Secretary, the Deputy Director, the Special Advisory Group, the Assistants to the Deputy Under Secretary, and the Special Assistants for Education and Cultural Affairs. It documents the policy direction and supervision of the Secretary's Office in coordinating various economic development programs such as those of Regional Action Planning Commissions; the activities of the Secretarial Representatives in the 10 standard Government Regional cities; the coordination of the various field offices of the operating units of the Department; the relationships with state and local governments; and related matters concerning the coordination and direction of the regional or field office aspects of Department programs. In addition, it reflects certain special projects or secretarial programs assigned to the Office by the Secretary, such as urban problems, consumer affairs matters, and the like.

Included in the file are records pertaining to various task forces, committees, or other policy making groups involved in this area of Commerce Department programs, as well as copies of speeches given by top Department officials on these matters. Arranged alphabetically by subject topics.

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

23. Administrative Subject File. Consists of office copies of documents relating to such internal house-keeping matters as time and attendance, applicants, travel, requisitions for supplies or services, budget, and similar internal housekeeping matters.

Dispose of when 2 years old.

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

Dispose of when 2 years old.

Office of Regional Economic Coordination

(Special Assistant to the Secretary  
for Regional Economic Coordination)

The Office of Regional Economic Coordination shall assist the Deputy Under Secretary in that official's capacity as Special Assistant to the Secretary for Regional Economic Coordination.

Specifically, the Office shall:

a. Propose or review proposals for the designation of economic development regions and the establishment of Regional Commissions, and develop recommendations to the Secretary for modifications in the geographic area of a designated region.

b. Assist the Federal Cochairmen in providing effective and continuing liaison between the Federal Government and each Regional Commission.

c. Develop for the Secretary, in cooperation with the Federal Cochairmen, guidelines for the use of funds appropriated under Title V of the Act, including standards for meeting the requirement of Section 604 of the Act for proper and efficient management of projects; and review for the Secretary's action proposed budgets and subsequent financial plans submitted by the Federal Cochairmen on behalf of the Regional Commissions.

d. Be responsible for issuance of instructions (in accordance with Section 7, subparagraph 102a. of the Department of Commerce Handbook of Accounting Principles and Standards) to establish and administer a system of fund control over funds appropriated for Regional Development Programs, as authorized by Title V of the Act. The instructions shall include provisions to assure that Federal Cochairmen, in accordance with approved financial plans, will have final authority to commit such funds for Federal grants and supplements approved by the Regional Commissions for technical, planning assistance, and administrative grants to the Regional Commissions.

e. Assist the Secretary and the Deputy Under Secretary in communicating to the Federal Cochairmen such general policies affecting regional economic development and any other forms of program guidance and policy direction with respect to their Federal functions as the Secretary may establish.

f. Assure adequate coordination between the Regional Commissions and all Commerce organizations, such coordination encompassing planning, development, and the execution of economic development activities, including individual projects.

g. Assist the Secretary in achieving effective coordination of the activities of the Federal Government, relating to economic development regions.

h. With the Federal Cochairmen obtain a coordinated review within the Federal Government of plans (including comprehensive long-range economic development plans),

programs, proposals, and recommendations submitted by the Regional Commissions; and based on such coordinated review, comment on and present such matters to the Secretary for appropriate action.

i. Provide the Executive Secretary of the Federal Advisory Council on Regional Economic Development (the "Council") established by Executive Order 11386, and provide staff support to the Council in performing its functions set forth in the Executive Order and as may be requested by the Secretary.

j. Perform or sponsor research related to objectives of Title V of the Act, coordinating such research plans with the Federal Cochairmen.

k. Develop, in collaboration with the Federal Cochairmen, proposed agreements or memoranda of understanding between the Federal Cochairmen and other Federal agencies when required for the conduct of Regional Commission programs; attempt to resolve by mutual agreement any differences in policy that may arise between a Federal Cochairman and a Federal department or agency, and, if necessary, propose action to the Secretary for resolving such questions.

l. Review proposed Regional Commission annual reports prior to transmittal to the Congress.

m. Review the effectiveness of programs of Regional Commissions in achieving statutory objectives, and submit recommendations thereon to the individual Federal Cochairmen, or when appropriate, to the Secretary.

n. Perform such other duties as may be necessary to assist the Secretary, the Deputy Under Secretary, and the Federal Cochairmen, including the development of policies and legislative proposals relating to economic development regions.

o. Provide budgetary services to the Federal Cochairmen, and arrange for the provision of other support services by units of the Office of the Secretary, directly to the Federal Cochairmen as may be required.

25. Economic Development Subject File. Incoming and outgoing communications generated by all elements of the office to keep the Secretary advised of economic plans and progress of all elements of the Federal Government under the Public Works and Economic Development Act of 1965. Also included are reports and resumes of technical assistance provided by the Coordinator to the Federal Cochairmen and Commissions, and biographies of various personnel involved. Alphabetic by subject.

Permanent. Start a new file every 5 years and retire to SHA 1 year later. Transfer to WNRC when 10 years old. Offer for transfer to the National Archives 20 years thereafter.

26. Plans and Reports File. These are one copy of each plan and report prepared by the Regional Commissions and copies of special reports and studies prepared by the office of the Special Assistant to the Secretary for Regional Economic Coordination. Arranged by Commission.

Permanent. Retire to SHA when 5 years old and transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose when 2 years old.

28. Budget File. This file consists of materials pertaining to a centralized budget preparation and execution approach for the various separate Regional Action Planning Commissions. As such, it provides a more detailed picture of the budgetary process for all Commissions, than the main Departmental budgetary records maintained by the Office of Budget and Program Evaluation.

Retire to SHA when 3 years old. Dispose when 6 years old.

29. Legislative Comment Files. The file consists of documentation relating to various pieces of legislation on regional economic development or coordination, such as copies of bills and comments prepared relating to them.

- a. Materials pertaining to the Appalachian Regional Development Act and the Public Works and Economic Development Act - Retire to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Dispose of when 25 years old.
- b. Materials pertaining to other legislation - Dispose of when 5 years old.

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Office of State and Local Government Assistance

Under the supervision and direction of the Deputy Under Secretary, the Office of State and Local Government Assistance shall:

- a. Provide a central point of contact and assistance at the Department for State and local governments.
- b. Provide and coordinate, through the Secretarial Representatives, the Federal Cochairmen, and the Department's field structure, consultation and outreach to State and local governments, to obtain information for the Department on their needs and concerns, assure their involvement in significant Department policy-making and program development, and to keep them aware of Department resources, policies and programs.
- c. Convene meetings of appropriate representatives of State and local governments, in the field or in Washington to identify problems and to comment on policy, programs, or legislation.
- d. As appropriate, identify and convene Department officials on significant matters of concern to State and local governments which involve two or more operating units of the Department.
- e. As directed by the Secretary, coordinate the actions of two or more operating units concerning a significant problem or activity affecting State and local governments.

f. Initiate responses or actions, in concert with the affected Department organizations, to meet State and local government needs or to implement Department policies and goals.

g. Work closely with the Federal Cochairmen and the Secretarial Representatives.

h. Provide assistance in the Department's implementation of OMB Circular A-85 concerning consultation with State and local governments.

30. Program Subject File. The file reflects the coordination, liaison, and assistance activities of the Office in serving as a central point of contact at the Department for State and local governments. It concerns such matters as relations with the Secretarial Representatives, the Federal Cochairmen, and Department field offices in dealing with State and local governments, input from state and local governments as to development of Department policies and programs, meetings and conferences with various state and local government officials and representatives of the Department, and coordination of two or more Departmental operating units in dealing with State and local governments, and similar coordination liaison activities. Documentation on these activities is also included in the files of the Deputy Under Secretary.

Retire to SHA upon change of Administration.  
Transfer to WNRC 2 years later. Dispose of  
when 20 years old.

#### Office of Program Coordination

The Office of Program Coordination shall:

a. Assist operating units in the development of program activities involving more than one unit for the purpose of meeting the Department's responsibilities and goals.

b. As appropriate, coordinate or monitor the conduct of major Department programs involving more than one operating unit to the end that the Department's activities are cohesive and supportive to each other.



c. Provide necessary support to the Federal Cochairmen, the Secretarial Representatives, and the Department's field structure, in regard to their activities in the field for coordination with and support of the activities of other Federal agencies and those of State and local governments and the private sector.

d. Provide staff support to the Commerce Field Coordination Committee, composed of the Deputy Under Secretary and the officials responsible for field operations in each major element of the Department.

e. Provide for and coordinate the transmission of information, requests and other matters from the Office of the Deputy Under Secretary and from Department operating units to the Secretarial Representatives and the Federal Cochairmen.

31. Program Coordination Subject File. The file reflects the overall program coordination activities of the office in working with Department programs involving more than one Department operating unit; providing staff support for and maintaining records relating to the Commerce Field Coordinating Committee; transmitting information and requests from the Office of the Deputy Under Secretary or Department operating units to the Secretarial Representatives and Federal Cochairmen; and, as assigned by the Deputy Under Secretary, coordinating various programs to assure that they are cohesive and supportive of one another. Documentation on these activities is also included in the files of the Deputy Under Secretary.

Retire to SHA upon change of Administration.  
Transfer to WNRC 2 years later. Dispose of  
when 20 years old.

#### Consumer Affairs Office

Among the special projects and secretarial programs of the Office of the Deputy Under Secretary, the consumer affairs program is one that involves replying to consumer inquiries or complaints, obtaining consumer input with regard to Department program development, advising

the business community on how it can be more responsive to consumer needs, and serving as a central point in the Department for handling matters of interest to consumers.

32. Consumer Program Subject File. The file reflects such activities as corresponding with consumers who have inquiries or complaints regarding various products, and referring certain of the requests to appropriate action agencies; includes consumer-related input into Department program development as appropriate; and serving as a liaison and contact point for consumer interests as they involve Departmental programs. Documentation on consumer matters is also included in the files of the Deputy Under Secretary.

Retire to SHA upon change of administration.  
Transfer to WNRC 2 years later. Dispose of  
when 20 years old.

### Secretarial Representatives

Secretarial Representatives, serving as the personal representatives of the Secretary, are stationed at each of the ten Standard Federal Regional Cities, namely, Boston, New York, Philadelphia, Atlanta, Chicago, Kansas City, Denver, Dallas, San Francisco, and Seattle. They report to the Secretary through the Deputy Under Secretary. While there are some variations, the files of each are reasonably similar.

The Secretarial Representatives shall:

- a. Serve as the personal representatives of the Secretary to individuals and organizations in the Regions.
- b. Foster lateral coordination among the Department's field operations where appropriate to the end that the Department's activities are cohesive and supportive of each other.
- c. Assure that the activities of the Department in the field are coordinated with and supportive of the activities of other Federal agencies and those of State and local governments and the private sector.

- d. Encourage the identification and analysis of the needs of State and local governments, and the private sector, and other interested parties within the Region and foster the responsiveness of Department policies and programs to such needs.
- e. Encourage initiatives to the end that Department field activities and programs fulfill the responsibilities and goals of the Department in responding to the needs and problems of State and local governments and the private sector.
- f. Assure that Department policies and programs are clearly understood by field personnel of the Department and by State and local governments, the private sector, and other interested parties, and that all of the foregoing have the fullest opportunity to participate in the formulation of Department policies and programs.
- g. Represent the Department on the Federal Regional Council, River Basin Commissions, and, in coordination with the Office of Minority Business Development, minority business opportunity councils, located within their respective Regions.
- h. Represent the Department on each Federal Executive Board within the Region, designating another representative of the Department as necessary for those Federal Executive Boards outside the Federal Regional city.
- i. Convene and chair on a regular basis meetings of a Commerce Council composed of the highest ranking Department officials representing each Department unit in or serving the Region. Report on the activities of the Commerce Council to the Secretary through the Deputy Under Secretary.
- j. Make periodic reviews of the effectiveness of the Department's programs in meeting the needs of the Regions, and report the findings and recommendations of such reviews to the Deputy Under Secretary for transmission to the Secretary.
- k. Provide the Deputy Under Secretary and the Secretary with information on developments and activities in the Regions, particularly on legislative, business, and economic issues which may affect the Department's programs in the Regions.

1. Perform such other functions as the Secretary of the Deputy Under Secretary may from time-to-time direct.

33. Representative Program Subject File. The file reflects the promotional, coordinating, and liaison activities of the ten Secretarial Representatives and their staffs as they serve as the personal representative of the Secretary in the particular standard Federal Region assigned. The file contains records relating to such committees, boards, or other groups upon which the Representative serves as the Federal Executive Board, the Commerce Council, the Federal Regional Council, the appropriate River Basin Commission, and the like. In addition, the file contains materials relating to the liaison or contact work of the Representatives in working with the various Department field offices in the Regions, other Federal agencies, state and local governments, Regional Action Planning Commission Federal Cochairmen, and representatives of the public concerned with various Department programs. It also includes various reports and other information sent to the Secretary through the Deputy Under Secretary, and materials relating to such special assignments as the Secretary may place upon the Representatives.

Transfer to appropriate Federal Archives and Records Center 1 year after change of Administration. Dispose of when 20 years old.

34. Administrative Subject File. The file contains office copies of materials pertaining to such internal housekeeping matters as budget, personnel, time and attendance, imprest funds, travel and transportation, requisitions for supplies and services, and similar internal housekeeping matters.

a. Records pertaining to imprest funds - Dispose of 3 years after payment.

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

35. Chronological File. The file consists of an extra copy of documents prepared in the office and maintained in date order.

Dispose of when 4 years old.

WHITE HOUSE CONFERENCE ON BALANCED  
NATIONAL GROWTH AND ECONOMIC DEVELOPMENT

The Congress of the United States authorized a White House Conference on Balanced National Growth and Economic Development in the Public Works and Economic Development Act Amendments of 1976. On August 4, 1977, President Jimmy Carter announced his intention to call the Conference and turned to two people to make it happen.

Secretary of Commerce Juanita M. Kreps was asked by the President to lead a governmentwide effort to support and produce the Conference. Under her leadership, a director was appointed, funds were provided, administrative support was furnished, other Federal agencies were contacted to help shape the agenda and provide the necessary background research, and the major directions and outlines of the Conference were determined.

Governor John D. Rockefeller IV of West Virginia was asked by the President to be Chairman of the Conference Advisory Committee. For the five months preceding the Conference, Governor Rockefeller personally participated in a number of planning sessions, contacted all the other Governors to involve them substantively, helped to secure top business, labor, and public officials as speakers and participants, and convened in West Virginia an Appalachian Regional Conference on Growth and Development as a prelude to the White House Conference.

During the liquidation of the Conference, it was determined that its program and substantive records would be transferred directly to the National Archives and Records Service (NARS), since it was deemed to be Presidential Conference. However, NARS did not accept certain administrative and ephemeral records of the Conference which were considered to be Commerce Department records and remained in the the Department.

35a. Administrative Subject File. Consists of records pertaining to internal housekeeping matters such as budget, contracts, personnel, travel, and general administrative matters.

- a. Personnel records - Dispose of 6 months after termination of conference.
- b. All other records - Dispose of when 2 years old.

35b. Conference Logistics Files. Binders pertaining to arrangements for various meetings and other logistical matters involving the conference and its activities.

Dispose of when 3 years old.

35c. Conference Participants Files. Records relating to selection of participants and the mix of various types of persons to be involved; mainly of an administrative nature.

Dispose of when 3 years old.

35d. Workshop Records. Drafts and administrative-type papers pertaining to workshops sponsored by the Conference.

Dispose of when 3 years old.

35e. Mailing List Records. Records consists of data on individuals with whom the Conference communicated including recipients of Conference literature.

Dispose of when 3 years old.

#### TASK FORCE ON WOMEN BUSINESS OWNERS

The Task Force on Women Business Owners was established by a Presidential Memorandum of August 4, 1977, addressed to the following Government Officials:

The Secretary of the Treasury  
The Secretary of Defense  
The Secretary of Labor  
The Secretary of Commerce  
The Secretary of Health, Education, and Welfare  
The Administrator of General Services Administration  
The Administrator of Small Business Administration

These officials were requested to designate a person to serve on the Task Force. In Executive Departments, members were to be of a rank of not less than Deputy Assistant Secretary, and from the other agencies were to be of comparable rank. The designee of the Commerce Department chaired the Task Force. In addition to the representatives of the seven agencies, there were four ex officio members including a member of the White House Domestic Policy staff.

The staff consisted of an Executive Director, a Deputy Director, a Special Assistant, a Director of Resources, and a Student Assistant. In addition, Study Coordinators were established in the following areas: Labor Assessment, Federal Program Assessment, Education, Management Training, Marketing/Procurement, Credit and Capital Formation, and Legislation and Regulatory Agencies.

In accordance with the President's Memorandum, the Task Force was responsible for obtaining current and accurate information on the status of women as business owners. Specifically the Task Force was to:

1. Identify existing data on women entrepreneurs, assess its adequacy, identify needs for additional data and propose methods of collecting it;
2. Identify the primary practices or conditions
  - a) which discourage women from becoming entrepreneurs; or
  - b) which have the effect of discriminating against women entrepreneurs or placing them at a competitive disadvantage;
3. Assess current federal programs and practices
  - a) which have the effect of discriminating against women entrepreneurs or placing them at a competitive disadvantage; or
  - b) which are designed to mitigate the conditions and practices which place women entrepreneurs at a competitive disadvantage;

4. Based on these assessments, propose changes in federal law, regulation, and practice for carrying out the commitment of the Administration, and advise as to the impact, if any, of such changes on the federal budget.

The Task Force went out of business as of June 30, 1978, after preparation of its final report.

36. Program Subject File. The file consists of centralized materials documenting the organization and functioning of the Task Force as it gathered the required information on women in business by questionnaire and from other sources, and as it prepared its final report documenting its findings. Included in this alphabetically arranged subject file are materials on:

Public Information, Task Force Meetings, Speeches and Appearances, Interoffice Memorandums and Activity Reports, Agency Contacts, Correspondence with Government Agencies, Mailing List of Women Business Owners, Relations with Congress and Committees, Legislation, and the Preparation of the Final Report.

Also included in the file are materials of the Director of Resources on the availability and gathering of information on women business owners, a chronological copy of all materials prepared or signed in the office; and two copies of the final report.

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Permanent. Retire to SHA upon close of Task Force. Transfer to WNRC 2 years thereafter. Offer for transfer to the National Archives 5 years thereafter.

37. Questionnaires on Women Business Owners. The file consists of questionnaires, both tabulated, and those not tabulated because they did not meet various criteria for tabulation, sent out by the Task Force to women business owners as part of the information gathering activities. The file is in no particular sequence.

Dispose of ~~upon termination of the Task Force~~  
when essential information is tabulated.

DISPOSAL NOT APPROVED

DISPOSAL NOT APPROVED



38. Administrative Subject File. The file consists of office copies of materials pertaining to internal house-keeping activities such as budget, personnel, time and attendance, travel, administrative management, requisition for supplies and services, and the like.

Retire to SHA upon termination of Task Force.  
Dispose of when 3 years old.

39. Staff Working Paper Files. The files consist of extra copies of documents, drafts of papers or reports, and reference materials, maintained by staff personnel for convenience of reference or operations, and which are essentially duplicated by the official central program subject file of the Task Force.

Dispose of upon termination of the Task Force.

39a. Mailing List of Women Business Experts. Consists of names of womes business experts for contacting purposes during surveys and dissemination of Commission findings.

validated list

- a. Dispose of/5 years after termination of the Commission.
- b. All other records. Dispose of upon termination of the Task Force.

#### INTERAGENCY TASK FORCE ON PRODUCT LIABILITY

The Federal Interagency Task Force on Product Liability was established by the Economic Policy Board of the White House in April 1976, as a result of a memorandum from L. William Seidman of the White House, to Under Secretary of Commerce James A. Baker III. The memorandum requested an 8-month interagency study resulting in a report on product liability to be made to the Economic Policy Board.

The Under Secretary served as Chairman and directed the Interagency Task Force made up of members from ten Federal agencies, while Victor E. Schwartz, on leave from the faculty of the University of Cincinnati College of Law, was named as Chairman of the Working Interagency Task Force.

On December 15, 1976 the Under Secretary submitted a memorandum to the Economic Policy Board of the White House outlining the product liability problem and its potential

solutions. The memorandum was based on preliminary drafts of contractor reports, a Product Liability Symposium, and Advisory Committee Meetings. The Board met and requested the preparation and publication by the Task Force of a comprehensive final report on product liability problems.

In January 1977, the Working Task Force began the work of editing the existing reports and preparing the final report. After clearance by the ten member agencies of the Task Force, the final report was released in November 1977. The Interagency Task Force was dissolved in December 1977.

Because of the economic significance of the product liability issues to our economy and the continued interest expressed, in February 1978, a new task force on Product Liability and Accident Compensation Issues was authorized, under the general supervision of the Under Secretary of Commerce, the General Counsel, and the Assistant Secretary for Industry and Trade. It was mandated to issue its report on the subject by August 1979.

Because of the similarity of the types of records involved, the following items will cover the disposition of the records of both the task forces.

40. Task Force Program Subject File. The file consists of materials maintained centrally by each task force documenting the establishment, organization, meetings, data gathering, tabulation, report writing and clearance, and issuance of the various reports of the Task Forces and contractors. Included in this file of subjectively arranged materials are the following representative topics: Publicity, Federal Legislation, State Bills, Congressional Reports/Studies, Statutes of Limitations, Memoranda and Correspondence, Speeches, Contractors, Insurance Regulation Standards, Product Liability, Worker Compensation, Accident Compensation Issues, Product Liability Interest Groups, and the like.

The file includes two copies of each of the publications issued by the Task Force or its contractors, as well as records pertaining to meetings of the task force, working groups, or advisory committees.

Permanent. Retire to SHA upon termination of Task Force. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

41. Administrative Subject File. The file consists of office copies of documents relating to internal house-keeping activities of the Task Force, such as personnel, budget, time and attendance, travel, requisitions for supplies and services, and similar housekeeping matters.

Dispose of when 2 years old.

42. Staff Working Files. The file consists of extra copies, drafts, reference materials, and other working papers maintained by staff members for convenience of operations or reference. These materials are largely duplicated by the central Task Force program subject file.

Dispose of upon termination of the Task Force.

43. Chronological File. The file consists of an extra copy of documents prepared or signed in the office, maintained in date order.

Dispose of upon termination of the Task Force.

#### OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs shall:

- a. Plan, develop, and implement a coordinated public information program throughout the Department;
- b. Prepare and issue press releases and radio/TV material on matters involving the Secretary or Under Secretary, and other officials in the Office of the Secretary, as appropriate;
- c. Provide, or supervise the provision of, other public affairs services required by the Secretary, Under Secretary, and other officials of the Department, including the handling of news conferences, arranging for radio and television broadcasts, and arranging personal appearances;
- d. Review and approve for release all:

1. News items and related materials;
2. Speeches;
3. Publications;
4. Audiovisual materials for external use; and
5. Advertising or promotional programs for public affairs purposes produced in the Department.

e. Provide editorial and technical advice and assistance to the operating units with respect to the materials listed in subparagraph d., above;

f. Maintain liaison with the White House, Office of the Press Secretary to the President and the counterpart offices in other Government agencies, to assure that the Department's public information activities are consistent and coordinated with those of the entire Executive Branch;

g. Provide liaison with outside public groups and organizations concerned with the Department's activities;

h. Advise and assist the Office of the Secretary, and other offices, as appropriate, by providing information, analysis, and news services concerning press and radio/TV coverage of Department activities;

i. Authorize the scheduling of news conferences proposed by operating units and provide such staff assistance as may be appropriate;

j. Exercise functional supervision of the public information activities of operating units, whether performed by information staff or otherwise;

k. Review and evaluate the effectiveness of public affairs functions in the operating units, and furnish the results of such evaluations to the Secretary and the head of the operating unit concerned;

l. Advise the heads of operating units concerning the selection of persons to fill all positions at GS-13 or above in public information offices in the operating units; provide clearance with respect to such individuals; and

m. Review and evaluate all Freedom of Information Act letters or appeal in accordance with Section 5.04b. of DAO 205-12, and clear the proposed reply to each such appeal.

44. Director's Public Affairs Subject File. Copies of incoming and outgoing communications descriptive of its program and accomplishments provided to the public to enable it to establish an appropriate image of the Department. Also included is documentation collected by the office as the point of contact for organizations and private individuals with the Office of the Secretary.

Start a new file every 2 years and retire to SHA. Transfer to WNRC 2 years later. Dispose of 4 years later.

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

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Dispose when 2 years old.

46. Routine Requests for Information or Publications. Requests for publications, press releases, and other routine informational requests involving no significant research or policy matters.

Dispose when 6 months old or return to requester with the material requested, whichever is preferable.

#### Special Projects Division

47. Information Subject File. These are incoming requests about the Department, its program, and accomplishments with appropriate replies.

Start a new file every year and dispose 1 year later.

48. Controlled Public Information Correspondence. Incoming letters addressed to the Secretary that are controlled and referred to for preparation of a reply for the Secretary's signature.

Start a new file every 2 years, retire to SHA and dispose when 4 years old.

49. Pending Speech File. These are drafts of speeches scheduled for delivery with some relevant background material. At an appropriate time each draft speech is assigned to a staff writer who reviews the material from this file and prepares a revision of the speech.

Move the draft and all related material to the speech writer's file upon revision.

50. Speech Writer's File. Contains incoming and outgoing correspondence and research material, notes, drafts, jumbo copy, and printed text for each speech.

Dispose of individual speeches and related background material when no longer needed for current business.

51. White House Press Releases. Consists of one copy of all White House press releases and compilations.

Dispose when no longer needed for current business.

52. Speeches made by Government Officials. Copies of speeches delivered by officials of other agencies and copies of selected speeches made by key officials of the Department.

Dispose when no longer needed for current business.

53. Secretary's Speech File. This consists of one copy of the Secretary's speeches, statements and press conferences from 1961 to date in looseleaf binders. Filed by date.

Permanent. Retire to SHA when 10 years old. Transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

54. Speech Writers Technical Information File. Contains primarily printed or processed material with a few typescript documents collected for potential use in writing speeches.

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

55. Administrative History. These are administrative histories of primary operating units prepared in 1968 with supporting documentary source books. Alphabetical by bureau.

Permanent. Retire to SHA when 10 years old and transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose when 2 years old.

57. Special Projects File. This file consists of collections of background information, correspondence, progress reports, and related records pertaining to special projects from inception to completion.

Retire closed projects to SHA and dispose of 4 years later.

#### Print Media Division

##### Newsroom

58. Speech File. Contains one printed copy of speeches of the Secretary and other key officials of the Department. Alphabetical by speaker's name thereunder by date.

Permanent. Retire to SHA upon a change of the Secretary and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

59. Press Releases. Multiple copies of each press release of the Department. Two copies from this file are earmarked for a record set. Alphabetical by Bureau thereunder by press release number.

a. Record Set - Permanent. Retire to SHA and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

- b. All Other Copies - Dispose when they have served their purpose.

60. Press Conference Transcripts. One processed copy of the transcripts of press conferences. Filed chronologically.

Permanent. Retire to SHA when no longer needed for current business, transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

61. Photographic File of Senior Officials. These are glossy print photographs of Secretarial officers and other senior officials of the Department. One copy of each photograph is earmarked for a record set. Alphabetical by name.

- a. Record Set - Permanent. *including original negative and captioned print which are in ITEM 595* Retire to SHA, *break file every 5 yrs and* offer to NARS ~~transfer to WNRC 2 years later.~~ *5 Years later.*

- b. All Other Copies - Dispose when no longer needed for current business.

62. Biographical File. This is a record set of one copy of a biographical statement for all officials above the deputy head of primary operating units. Filed alphabetically by name.

Permanent. Retire to SHA and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

63. White House Releases. These are White House press releases and compilations collected for reference and informational purposes.

Dispose when no longer needed for current business.

64. Press Release Index. A visible (5x8) card index of press releases by number, date, and subject. Alphabetical by Bureau thereunder by number.

Permanent. Start a new index every 10 years, retire to SHA and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.



65. Printing Requisitions. These are office copies of requisitions for printing submitted to the Office of Publications.

Dispose upon completion and receipt of the job.

66. Former Official's History File. Copies of biographical resumes, sometimes with a glossy photograph, related press releases, newsclippings, and the like about former officials. Filed alphabetically by name.

Permanent. Retire to SHA and transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

67. News Digest. One copy of a compilation of news items of special significance or interest to the Department issued daily. Filed by date.

Permanent. Retire to SHA and transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

#### Publications Standards and Development Branch

68. Publications Clearance Request File. The file consists of Form CD-27, "Publications Clearance Request," or equivalent, and related papers pertaining to the office review of requests for publication issuance by constituent units of the Department to provide approval for the publication project.

Retire to SHA when 5 years old. Transfer to WNRC 1 year later. Dispose of when 15 years old.

69. Billing File for Working Capital Fund. The file contains a copy of Form CD-10, Printing Requisition, maintained by the office to serve as a Working Capital Fund billing document for the operating unit requesting the printing of a publication.

Dispose of when 2 years old.

70. Administrative Subject File. Office copies of documents pertaining to such internal housekeeping matters as time and attendance, office printing requests, taxi vouchers, billing matters, personnel, and similar housekeeping matters.

Dispose of when 2 years old.

71. Business Service Checklist File. Consists of copies of this biweekly publication listing the various publications issued by the Department during the period of interest to business and others, and related papers. These checklists are merged into an annual publication.

Dispose of when 2 years old.

72. Commerce Department Publications Catalog, Index, and Annual Supplements. The file consists of the record copy set of the 1952 publication, "Commerce Department Publications Catalog and Index" and of each of the printed annual supplements listing all the Commerce Department publications issued during the year. Arranged by date.

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

#### Audio Visual Division

73. Chronological Radio Master Scripts. The file consists of a chronologically arranged copy of the short 30 second daily spot scripts furnished to various radio networks or stations and the Friday weekly feature scripts of 3-1/2 minutes. These scripts are typically excerpts from press releases, or other Department informational media issuances covering various activities of the agencies of the Department and furnished regularly to the radio outlets.

Retire to SHA when 3 years old. Dispose of 2 years thereafter.

74. Chronological Audio Tape Masters of Radio Scripts. These audio tapes contain scripts that have been taped, both the daily spots and the weekly feature scripts, maintained in date order on the tapes.

Retire to SHA when 3 years old. Scratch 2 years later.

75. Daily Spot Radio Script Masters. This set of 30 second spot scripts is arranged by recipients, such as the mutual network, NBC network, ABC network, or the Associated Press Southern network, and serves as the master set.

Retire to SHA when 3 years. Dispose of 2 years thereafter.

76. Weekly Feature Radio Script Masters. This set of weekly feature 3-1/2 minute scripts serves as the master set for the weekly feature programs furnished to various radio outlets. These scripts are typically based on other Departmental informational media issuances.

Retire to SHA when 3 years old. Dispose of 2 years thereafter.

77. Secretarial Audio Tapes. This set of audio tapes on reels and cassettes, consists of those selected speeches, statements, or news conferences of the Secretary or Under Secretary that these officials have requested the office to tape. The tapes are maintained in chronological sequence.

Permanent. Retire to SHA 1 year after change of Secretary. ~~Transfer to WNBC 1 year later.~~ Offer for transfer to the National Archives ~~20~~<sup>5</sup> years thereafter.

78. Audio Visual Program Subject File. This file, alphabetically arranged by subject topic, documents the major program activities of the Audio Visual Division. Included in the file are such topics as White House Study, Audio Visual Program, Audio visual equipment and conference rooms, Broadcast Division, Press Releases, Secretary, Economic Reports, Network Correspondence, and Weekend Features.

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

79. Administrative Subject File. The file consists of office copies of documents relating to such internal housekeeping activities as budget, time and attendance, requisitions for services and supplies, personnel, and similar housekeeping activities.

Dispose of when 2 years old.

80. Working Slide File. The file consists of some black and white, and, mainly, mounted color transparencies used as a data base from which to prepare presentations upon demand. Some of the slides are from the various operating units of the Department and cover the various programs of the particular units.

The file is basically arranged by operating units.

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

81. Working Video Tapes. These video tapes received from outside sources can serve as presentations involving Department activities. Very few tapes are maintained.

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

82. Chronological Files. The file consists of an extra copy of documents prepared or signed in the Division.

Dispose of when 3 years old.

## GENERAL COUNSEL

The General Counsel is the chief law officer of the Department and legal adviser to the Secretary and other Commerce officials. He is responsible for advice and guidance on all legal matters and related policy questions, except for those involved in the issuance of patents or the registration of trademarks. He provides legal guidance to all Department operating units.

The General Counsel is responsible for certain aspects of substantive legislation, including the preparation or review of departmental proposals, expressions of official opinion on the merits of proposed or pending legislation, statements concerning legislation made before Congress, and advice to the President on enrolled enactments. He is also responsible for the preparation or review of departmental comments on environmental and energy regulations proposed by other agencies.

In the area of administration, legal services are provided to support such departmentwide activities as procurement, personnel, budget and appropriations, tort and other claims, equal opportunity, internal organization, and rulemaking.

The General Counsel provides substantial legal advice on matters involving conflict of interest questions, the census laws, advisory committees, the recommendations of the U.S. Administrative Conference, the Privacy Act of 1974, and the Freedom of Information Act. Procurement contracts and grant documents are also reviewed, and advice is furnished on contract-related problems, including many disputes which were either settled or resolved administratively or judicially.

In the area of industry and trade, legal services are provided to the Industry and Trade Administration and to the U.S. Travel Service. Regarding domestic business, counsel is furnished on antitrust, consumer protection, energy, environment, and product liability issues, as well as on the administration of the Department's industrial mobilization program. Legal advice is also given on such matters as restrictions on the export of energy products and legislation to extend and amend the Export Administration Act of 1969.

Regarding international commerce, the General Counsel provides advice on matters involving the Arab boycott of Israel, on U.S. trade with the countries of the Middle East and with countries having non-market economies, and on questionable corporate practices by U.S. corporations abroad.

The General Counsel also assists in litigation involving export licensing restrictions against certain high-technology products and other aspects of the export administration program, foreign-trade zones, and a special program which permits duty-free importation of certain scientific instruments when equivalent U.S. instruments are unavailable.

In science and technology, the General Counsel advises the Assistant Secretary, the National Bureau of Standards, the National Technical Information Administration, the Patent and Trademark Office, and the Office of Telecommunications, Environmental Affairs, and Product Standards. Advice covers such major areas as domestic and international standards, intellectual property, metric conversion, energy issues, telecommunications, environmental affairs, and consumer technology.

#### General Counsel's Immediate Office

83. General Subject File. This file contains incoming and outgoing correspondence, processed material, and related papers on the legal program of the Department with special emphasis on certain situations and legal problems handled by the General Counsel. The file arranged alphabetically by subject, provides basic documentation of policies and activities of the central legal program of the Department.

Permanent. Start a new file every 2 years, retire to SHA and transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

84. Conflict of Interest Files. Case files containing form records and related materials submitted by top level officials of the Department in accordance with regulations

to report outside financial interests so as to avoid development of conflict of interest situations.

Dispose of 2 years after separation of official concerned.

### Deputy General Counsel

85. Legal Program Subject File. The file maintained for the Deputy General Counsel and the Special Assistant to the General Counsel documents the major Departmental legal activities for which the Deputy General Counsel has been responsible or maintains an interest in. It includes records pertaining to such subjects as Arab Boycott, Conflicts of Interest, Congressional Relations, Consumer Affairs, Energy Impact Assistance, Export Controls, Indian Affairs, Law of the Sea, Legislation, Metric Conversion Act, the National Advisory Committee on Oceans and Atmospheres, and the Privacy Act of 1974.

It includes opinions, correspondence, and related papers reflecting the legal input of the office to the various Department programs covered. Arranged alphabetically by subject topic.

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

86. Chronological File. The 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.

Executive Director, Task Force on  
Corporate Social Performance

87. Corporate Responsibility Task Force Subject File. The file reflects the activities of this task force and its Executive Director and members, under the General Counsel's Office, relating to the program of the Department on corporate social performance and responsibility. The Task Force, under its Executive Director, serves as the central Department organization to determine the status of corporate social responsibility and promote greater responsiveness on the part of corporations in meeting their social responsibilities.

The file includes such subjects as, Secretarial Briefing Book, Better Business Bureau, Council on Economic Priorities, Clearinghouse on Corporate Responsibility, Speeches, Legislation, Environment and Pollution, Corporate Social Performance Reports, Legislative History, Hearings, and Consumer Programs. Arranged alphabetically by subject topics.

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

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Assistant General Counsel for Administration

88. Directives. These are drafts and printed copies of Departmental Administrative Orders and Departmental Organization Orders submitted to the office for clearance. Also included are some background papers and comments on the orders and on the directives system and procedures of the Department. The record set of directives case files maintained in the Office of Organization and Management Systems essentially duplicate these papers.

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Dispose when the order is revoked.



89. Legal Subject File. These are the designated central files for the Office of the General Counsel but many offices maintain their own files separately. They contain the writings generated by the Office together with related materials, filed by subject. In addition, one copy of the Office writings (letters, memoranda, etc.) other than on legislation is collated chronologically for permanent reference and held by the Office. Opinions, briefs, and other writings by Office attorneys which contain the results of legal research that have precedential or other value for future reference are separately filed by subject, indexed, and kept by the Office until it is decided to retire them to SHA, with instruction for their transfer to WNRC. Alphabetical by subject.

~~Permanent~~ Start a new file each year. Retire to SHA 3 years later, and transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter. WITHDRAWN

90. Contracts. These are photo copies of contracts submitted to the General Counsel for review with a small amount of related correspondence. The record copies of these contracts are maintained in the Procurement Division, Office of the Secretary, or in a counterpart unit in a primary operating unit.

Start a new file every year, retire to SHA when the contract period terminates, and dispose 3 years later.

91. Classified Documents. Documentation bearing national security classifications or held in confidence for other reasons. Included are such things as State Department releases, emergency readiness instructions, and some security classified material from other government agencies.

Retire closed cases to SHA every year, and transfer to WNRC 2 years later, and dispose 3 years later.

92. Budget File. Copies of workpapers, drafts, and of the various submissions of the budget.

Dispose when no longer needed for current business.

Assistant General Counsel for Industry and Trade

93. Industry and Trade Legal Subject File. Incoming and outgoing correspondence and other papers concerning foreign trade, the environment, consumer matters, taxation, and other matters relating to domestic or international business affairs. Alphabetical by subject.

Start a new file every 4 years, retire to SHA 2 years later, and dispose when 15 years old.

94. Export Control Legal File. Records and documents on the history of the Export Administration Act of 1969 and other export control laws administered by the Department. All facets of activities relating to the administration and enforcement of these laws are included as well as records pertaining to boycott activities. Arranged alphabetically by subject.

Permanent. Start a new file every 4 years and retire to SHA 2 years later. Transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

95. Textile Files. Copies of textile agreements, textile directives, and diplomatic notes.

Start a new file every 4 years, retire to SHA 2 years later, transfer to WNRC 2 years later, and dispose when 15 years old.

96. Office of Foreign Direct Investment Legal Files. Consists of documents relating to legal aspects of this former international program including appointments to an appeals board, correspondence pertaining to the former program, and papers concerning appeals made to the Board.

Retire to SHA when final legal actions have been completed. Dispose of when 8 years old.

97. Administrative Subject File. The file consists of office copies of documents relating to such internal housekeeping matters as travel, budget, time and attendance, requisitions and services and supplies, and similar housekeeping activities.

Dispose of when 2 years old.

Assistant General Counsel for  
Science and Technology

98. Program Subject File. Incoming and outgoing papers documenting the legal aspects of various department programs and activities of a scientific or technological nature for which the office provides legal services. The file covers such matters as legislation, oceanography, environmental affairs, energy, telecommunications, patents and trademarks, fire prevention and control, and legal questions involving the work of such department units as the National Bureau of Standards, the Office of Environmental Affairs, the Office of Product Standards, the National Fire Prevention and Control Administration, and the Patent and Trademark Office.

The file is arranged alphabetically by primary subjects and by subordinate topics thereunder. It includes any legal opinions prepared filed under the various subjects.

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

WITHDRAWN

99. Standards File. Legal papers concerning Department programs involving the Fair Packaging and Labeling Act, the State Technical Services Act, the Metric Conversion Act of 1975, and various standards and programs under the voluntary products standards authority of the Department, such as the laboratory accreditation program or the consumer labeling program. The file also includes materials on international standards, and relation with various standards organizations and committees. The file is arranged alphabetically by subject.

Permanent. Start a new file every 2 years. Retire to SHA 2 years later. Transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose when 2 years old.

Assistant General Counsel for Legislation

101. Legislative Program File. Contains processed copies of the proposed legislative program of the Department for each session of each Congress with monthly summaries of the status of the legislative program. Included are summary lists of programmed legislation that has been enacted and comments from Office of Management and Budget, White House, and Departmental officials.

Start a new file every 2 years, retire to SHA and transfer to WNRC 4 years later. Dispose 4 years later.

102. Legislative Reference File. Contains printed or processed copies of material having general application to the legislative program.

Dispose when the material has served its purpose.

103. Weekly Congressional Mail Reports. This is a log of congressional mail received and sent on legislation giving the subject of each item.

Dispose when no longer needed for current business.

104. Briefing Books. Briefs prepared for officials before their scheduled appearance to testify before House and/or Senate Committees.

Dispose when no longer needed for current business.

105. Working Hearing Folders. These are the workpapers of the Assistant General Counsel used to control and coordinate the Department's legislative program.

Start a new file every 2 years, retire to SHA and dispose 4 years later.

106. Congressional Testimonies. This is a collected set of the testimonies and statements of the Secretary of Commerce, 1965 to date.

Start a new file every 5 years. Dispose when no longer needed for current business.

107. General Enacted Legislation. Various and somewhat unrelated papers supporting summaries of enacted legislation or showing the reason why the item failed passage. Among the major subjects and areas are:

White House Requests - Instructions and requests for information on legislation.

State of the Union Message - Papers created in the process or preparing the Department's contribution to the President's State of the Union Message.

Special Situations - Data pertaining to the past or present status of legislation outside of the processes covered by the other files described.

Reorganization - Enacted and unenacted legislation relating to the establishment of the Department of Transportation and the attempted consolidation of Commerce and Labor Departments.

Start a new file every 2 years, retire to SHA 6 years later, and transfer to WNRC 3 years later. Dispose when 25 years old.

108. Press Releases. Processed copies of press releases related to the legislative program.

Dispose when they have served their purpose.

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

Dispose when 2 years old.

110. Legislative Case Files. Consists of a case file for each piece of legislation proposed by the Department and a case for each item proposed by another agency on which the Department was asked to comment or report. The cases contain all correspondence concerning the item and a draft of the bill as submitted to the Office of Management and Budget. Also included are printed copies of the bill as introduced and as passed and copies of hearings and reports, if any. Arranged by bill number

WITHDRAWN

WITHDRAWN

~~Permanent.~~ Start a new file at the beginning of each Congress, retire to SHA 4 years later and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

111. Legislative Case Files - Alphabetical and Numerical Indexes. An alphabetic subject card index as well as a numeric index by bill number are maintained for the Legislative Case Files.

Permanent. Alphabetical Subject and Numeric Indexes - Start a new index every 2 years. Retire to SHA when 10 years old for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

112. House and Senate Documents. These are copies of House and Senate Documents pertaining to legislative matters in which the Department participated but did not propose, report or comment on the specific bill(s).

Transfer to SHA at the end of next succeeding Congress. Dispose when the 5th successor Congress convenes.

113. Confirmation Hearings. One printed copy of each confirmation hearing for Secretarial and other Commerce officials appointed by the President with the advice and consent of the Senate. Alphabetical by name.

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

114. Legislative Subject File. Documentation pertaining to legislative matters of the Government and on external situations for which the Department either has prime responsibility or needs to know because it expects to have some responsibility.

Start a new file every 5 years, retire to SHA and transfer to WNRC 1 year later. Dispose 4 years later.

115. Legislative Statement File. Copies of statements and testimonies given before congressional committees by secretarial and other senior officials of the Department.

Dispose when 25 years old.

116. Preliminary Legislative Program. Documentation of submissions from each primary operating unit of legislative items to be included in the legislative program of the Department and status reports on each item until submitted to the Congress.

Dispose when 20 years old.

117. Legislative Chronological File. These are carbon copies of drafts and other submissions to the Office of Management and Budget and to the Congress. Although some of these papers are duplicated in the Legislative Case Files they serve an important purpose in the conduct of current business where many stringent deadlines must be met. The file is a ready source for locating all opinions prepared by the Office. Arranged by date.

Permanent. Retire to SHA when no longer needed for current business, transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

118. RESERVED

#### OFFICE OF CONGRESSIONAL AFFAIRS

Under the direction of the Assistant Secretary for Congressional Affairs, the Office of Congressional Affairs shall coordinate departmental activities pertaining to Congressional relations and serve as the channel for the exchange of information with Member of Congress. More specifically, the Office shall:

a. Serve as the focal point within the Department for handling Congressional relations, and advise the Secretary on such matters; and

b. Be primarily responsible for the handling of Congressional mail and telephone or other forms of inquiries or requests for information or assistance or reports from Members of Congress or their staffs, except as excluded by other regulations.

All such inquiries or requests from Congress shall be reported to the Assistant to the Secretary for Congressional Affairs in accordance with the provisions of Department Administrative Order 218-2.

Nothing herein shall be deemed to affect either the responsibility of the Office of the General Counsel for the preparation of and furnishing to the Congress of the Department's legislative program and for furnishing reports to the Congress on any proposed legislation; or the responsibility of the Office of the Assistant Secretary for Administration for the presentation to the Congress of budget estimates and direct liaison with appropriations committees and their staffs.

119. Program Subject File. Documentation concerning the Administration's programs and the Department's performance in developing them. These papers are needed by the Assistant Secretary to respond to the White House, Congress and to the Secretary. They are also used to prepare briefings for members of the White House staff, and new congressmen.

When an item of legislation is passed by the Congress the folders pertaining to it are moved from the unenacted legislature file to this one.

Start a new file after each congressional election, retire to SHA, and dispose when 10 years old.

120. Unenacted Legislation File. Documentation of the development of legislation from the time it is transmitted to the Congress through final passage -- included are copies of drafts, bills as introduced, reports, and correspondence with sponsors and other interested congressmen.

Start a new file at the end of each Congress, retire to SHA 2 years later, transfer to WNRC 2 years later. Dispose when 10 years old.



121. Congressional Correspondence File. This file contains copies of incoming and outgoing correspondence with congressmen. The papers are almost entirely duplicated in files maintained in the Executive Secretariat and in the primary operating units that prepared the replies. The few original documents found in the file have only an ephemeral character.

Start a new file after each congressional election, retire to SHA and dispose when 10 years old.

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

Dispose when 2 years old.

#### ASSISTANT SECRETARY FOR INDUSTRY AND TRADE

The Assistant Secretary serves as the chief executive of the Industry and Trade Administration. As such, the incumbent is responsible for the development and direction of all programs of the Administration covering domestic and international business.

123. Correspondence Subject File. Correspondence handled by the Assistant Secretary personally or prepared for his signature by other offices. Arranged alphabetically by subject.

Permanent. Start a new file every 2 years and retire to SHA. Transfer to WNRC 3 years later. Offer to the National Archives when 20 years old.

124. Export-Import Subject File. Correspondence with the private sector and other government agencies on export-import matters including foreign economic policy, labor management, tariffs, and trade and legislative files in the field.

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

125. Committee Files. Documentation including reports, membership lists, minutes, agenda and proposals for consideration of committees on which the Assistant Secretary either serves or is interested in. Arranged by name of committee.

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

126. Commodity File. Documentation of commodities that are either in short supply, involved in tariff considerations, or in proposed trade agreements.

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

127. Country File. Papers relating to trade and economic conditions of, and negotiations with, foreign countries.

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

128. Briefing Papers. These contain background information prepared by various offices about individuals or groups with whom the Assistant Secretary or Secretary expect to meet.

Start a new file every year, retire to SHA, and dispose when 3 years old.

129. Speech File. Invitations to speak, acceptances, and copies of speeches made by the Assistant Secretary.

Start a new file every year, retire to SHA, and dispose when 3 years old.

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

Dispose when 2 years old.

ASSISTANT SECRETARY FOR POLICY

The Assistant Secretary shall:

- a. Advise the Secretary and the Under Secretary on policy matters, with the direction and organization of the Office of the Assistant Secretary for Policy reflecting the Secretary's policy needs and interests.
- b. Disseminate to Departmental offices and operating units information on new policy assignments, establish lead office responsibility for each issue, and assure complete and timely resolution of policy issues in keeping with the Secretary's needs and interests.
- c. Coordinate Departmental views on policy matters affecting more than one Commerce office or operating unit, including these offices in the Office of the Secretary.
- d. Provide independent assessments, as required, of the views and recommendations of Departmental offices and operating units on policy matters of major importance to the Secretary and Under Secretary.
- e. In conjunction with appropriate Secretarial officers, provide analyses of policy issues requiring immediate Secretarial attention and meeting the Secretary's Executive Branch responsibilities.
- f. In consultation with Secretarial officers, initiate and/or conduct, as appropriate, longer-term policy development and special studies in response to Secretarial concerns and priorities.
- g. Maintain a current inventory on the status of major policy issues within the Department to support the Secretary's and Under Secretary's needs.
- h. Serve as Co-Executive Director of the Commerce Council.

The Office of the Assistant Secretary for Policy shall consist of:

- a. The Office of Domestic Economic Policy Coordination, headed by a Deputy Assistant Secretary who also serves as principal Deputy to the Assistant Secretary.
- b. The Office of International Policy Coordination, headed by a Deputy Assistant Secretary.
- c. The Office of Ocean, Resource, and Scientific Policy Coordination, headed by a Deputy Assistant Secretary.
- d. Such other offices as the Assistant Secretary, in conjunction with the Assistant Secretary for Administration, may establish for the purpose of carrying out assigned functions and responsibilities.

131. Policy Program Subject File. This file of the Assistant Secretary and his immediate staff reflects the delegation from the Secretary to the Assistant Secretary for Policy to advise the Secretary and Under Secretary on policy matters and to take such actions as needed to meet the Secretary's policy needs and interests. Typical subjects included in the file are: Agricultural Policy, Alaskan Oil, Anti-Inflation Policy, Coal Industry, Commerce Council, Commerce Project, Commerce Policy Council, Commerce Urban Roundtable, Economic Policy Group, Energy, International Policy, Oceans Policy, Patent Policy, Trade Policy Review Staff, Urban Policy, and White House Conferences.

The file is arranged alphabetically by subject topic.

Permanent. Break file each year and bring forward active material. Retire to SHA 1 year after breakage of the file. Transfer to WNRC after change of Assistant Secretary. Offer for transfer to the National Archives 20 years thereafter.

132. Administrative Subject File. Consists of office copies of documents pertaining to such housekeeping matters as budget, personnel, applications, time and attendance, travel, and similar housekeeping matters.

Dispose of when 2 years old.

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

Dispose of upon change of Assistant Secretary.

Deputy Assistant Secretary for Domestic  
Economic Policy Coordination

134. Domestic Economic Policy Subject File. The file reflects the assignments of a varied policy nature given the Deputy Assistant Secretary by the Secretary or Under Secretary or the Assistant Secretary for Policy covering many different facets of the domestic economy. It documents the staff work performed for these top officials and preparation of position papers, policy statements, and the like, and includes such subjects as DeLoorean Policy, Economic Development, Regulatory Policy, Tax Policy, Trade Adjustment, Corporate Social Responsibility, Consumer Representation, Incomes Policy, Minimum Wage, and as well as Secretarial Briefing Papers and Speeches. The file contains records pertaining to such policy studies as are assigned.

It also documents the role of the Deputy Assistant Secretary to serve as the principal deputy to the Assistant Secretary for Policy, and in coordinating Secretarial domestic programs within the Department, and with related Government agencies. Arranged alphabetically by subject.

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

135. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping matters as bond campaigns, personnel, security, parking permits, incentive awards, travel, time and attendance, and similar housekeeping matters.

Dispose of when 2 years old.

136. Chronological File. Consists of an extra copy of documents prepared or signed in the office of the Deputy Assistant Secretary maintained in date order.

Dispose of when 2 years old.

#### Policy Staff

The following represents the files of the groups of policy analysts and economists who report to the Deputy Assistant Secretary for Domestic Economic Policy Coordination.

137. Policy Subject Files. These files consist of materials maintained for the economists or policy analysts who perform the staff work for the Secretary, Under Secretary, or Assistant Secretary for Policy as assigned to the Deputy Assistant Secretary. They include materials relating to such subjects as Capital Formation, Economic Impact Analyses, Outlook, Anti-Inflation, Financial Institutions, Economic Development, DeLorean Policy, Regulatory Policy, Tax Policy, Trade Adjustment, Minerals Information, and many other subjects pertaining to the domestic economy. Copies of materials prepared by the staff are sent to the Office of the Deputy Assistant Secretary.

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

138. Policy Staff Working Paper Files. These files maintained by individual staff members consist of background materials, work papers, extra copies, drafts, and technical reference materials relating to the particular staff assignments given to the individual members.

Dispose of when no longer needed for current business.

e. Conduct analyses, as directed, which will: improve data essential for regulatory assessments, provide factual information and data essential to the development of Departmental policy positions, and improve the methodology for assessing the costs and benefits of regulatory actions.

f. Conduct substantive reviews of Departmental in-house and contractual studies which deal with regulations and related matters. Review study plans, studies in progress, and final reports for the adequacy of the methodology and the relationship of methodology to findings, recommendations, and policy implications.

g. Conduct, or assist in, as appropriate, the representation of Commerce views to the Office of Management and Budget, and other organizations concerned with regulatory matters.

139. Regulatory Reform File. The file reflects the Department's response to an Executive Order to improve and simplify the regulations of the government as they affect businesses and the public. It documents the activities of the various Department task forces or groups concerned as well as Department representation on government-wide regulatory reform groups. It includes background information and analyses of specific types of regulations, materials on various legislation affecting regulations, studies on regulations, and records pertaining to reasonableness of regulations. Arranged alphabetically by subject topics.

Permanent. Retire to SHA after 5 years. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

140. Environmental File. The file reflects the Office's review of environmental impact statements and other regulatory aspects of the Department's activities involving improvement of the environment, and the effect of environmental improvement legislation and Federal Government environmental regulatory programs on the domestic economy. It also includes guidelines on effluent dispersal, and other facets of the environmental programs and their economic impacts. Documentation on environmental matters is maintained by the Deputy Assistant Secretary for Environmental Affairs.

Office of Regulatory Economics and Policy

The Director of the Office of Regulatory Economics and Policy, a Departmental office, reports to the Deputy Assistant Secretary for Domestic Economic Policy Coordination. The Office of Regulatory Economics and Policy (the "Office") shall function as a coordination, analysis, and review group on regulatory policy matters of direct concern to the Secretary and the Assistant Secretary for Policy. In this capacity, the Office shall:

a. Coordinate and review Departmental activities associated with regulatory policy, to include activities of the Departmental Regulatory Policy Group (the Office Director will chair other Departmental committees relating to regulatory policy as may be appropriate).

b. Conduct studies, as directed, which will: identify significant impacts on the National economy of potential or actual Federal regulatory action; and help identify alternative means of achieving desired national objectives in a way which will minimize adverse economic consequences.

c. Analyze the implications for the National economy of potential major new Federal statutes, regulations, programs, or other actions; and the elimination or modification of existing Federal statutes, regulations, programs, or other actions. This shall include quantitative and qualitative analyses of the direct and indirect, short and long term, domestic and international, impacts of regulatory programs and related activities on the economy, its producing and consuming sectors, and its geographic areas. Particular attention shall be given to the interrelationship among regulations, and to the costs and benefits of regulations. The Office shall perform this function in a lead role, on a Department-wide basis, through its staff or by coordinating the efforts of other Departmental offices and operating units within Commerce.

d. Conduct studies, as directed, in anticipation of regulatory issues of significance to the Department.



Retire to SHA when 5 years old. Transfer to WNRC 3 years later. Dispose of 5 years thereafter.

141. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping activities as telephones, personnel, time and attendance, travel, budget, and similar housekeeping activities.

Dispose of when 2 years old.

142. Legislation Files. The file consists of comments and background materials on various proposed pieces of legislation affecting pertinent aspects of regulatory activities of the economy and business. Documentation on legislation is maintained by the General Counsel of the Department.

Retire to SHA when 5 years old. Transfer to WNRC 3 years later. Dispose of 5 years later.

143. Regulatory Subject File. The file reflects the scope of the Office programs involving the policy implications of government regulatory activities and their effect on the economy. Arranged alphabetically by subject topic, it documents such matters as membership of office staff on various Commerce, Interagency, and private committees, boards, task forces, councils, and the like; answering Congressional and White House inquiries; relations with Federal agencies such as EPA; attending various meetings; conducting various economic studies; and other matters of a policy nature relating to the regulatory impact on the economy.

Permanent. Retire to SHA when 5 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

144. Chronological Files. The file consists of an extra copy of documents prepared or signed in the Office arranged by date.

Dispose of when 5 years old.

145. Economist Working Files. The files consist of working papers, drafts, extra copies of documents, and background materials maintained by staff members.

Dispose of when no longer needed for current business.

146. Economic History File. The file consists of pertinent articles and statements reflecting on the overall economic conditions of the United States on a day to day basis from 1967 to date. It contains clippings or copies of selected articles from the Wall Street Journal, the New York Times, and the Washington Post, maintained chronologically. It provides basic background and historical information influencing the establishment of the regulatory policies of our Federal Government and particularly the Commerce Department. Filed by date.

Permanent. Retire to SHA when 5 years old.  
Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

Deputy Assistant Secretary for Oceans,  
Resources, and Scientific Policy Coordination

147. Oceans, Resources, and Scientific Policy Subject File. The file reflects the assignments of a varied policy nature given to the Deputy Assistant Secretary by the Secretary, Under Secretary, or the Assistant Secretary for Policy covering the many aspects involved in the Department's programs concerning oceans, resources, and scientific matters. It documents the staff work performed for these top officials and the preparation of position papers and policy statements and the like, and includes such subjects as Oceans Policy, Oceans General, Outer Continental Shelf, Law of the Sea, Economics, Seabeds, Fishery Management, Telecommunications, Science and Technology (Industrial Innovation), and Water Resources Policy.

The file also contains papers documenting the coordination of the secretarial programs pertaining to these matters within the Department and with related government agencies, as well as papers relating to such policy studies as are assigned. Arranged alphabetically by subject topic.

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

148. Oceans Policy Study. Consists of task force reports and manuscripts covering such study segments as Fish, Coastal Regions, Marine Environment, Marine Science and Technology, Problems of User Conflicts, and Marine Employment-Education. The file also includes two copies of the final report. Arranged by segment.

Permanent. Retire to SHA upon publication of results. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

149. Legislative Comment Files. Consists of comments on proposed legislation pertaining to oceans, resources, or scientific matters submitted to the General Counsel's Office, which maintains the record copy for the Department.

Dispose when 3 years old.

150. Policy Staff Working Paper Files. These files maintained by individual staff members consist of background materials, work papers, extra copies, drafts, and technical reference materials pertaining to the particular staff assignments given to the individual members.

Dispose of when no longer needed for current business.

151. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, travel, transportation, and similar internal housekeeping matters.

Dispose of when 2 years old.

Energy Staff

152. Administrative Subject File. The file consists of office copies of documents pertaining to budget, time and attendance, travel, and similar type housekeeping activities.

Dispose of when 2 years old.

153. Energy Program Subject File. The file reflects the central coordination of energy matters as they related to Department programs, and to other Federal agencies concerned. Since 1977, the bulk of the Department energy programs and records were transferred to the Department of Energy. The file, thus, is a partial one documenting the portion of the program remaining in the Department, and its coordination through the Deputy Assistant Secretary for Oceans, Resources, and Scientific Policy Coordination. Typical of the subjects covered are: Alliance to Save Energy, Business Roundtable, Commerce Policy Council, Corporate Responsibility, Cultural Affairs, DOC/DOE Agreement, Energy Policy Committee, Energy Inventory, Legislation, Briefing Materials on National Energy Plans, and Weekly Reports.

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

154. Chronological File. The file consists of an extra copy of documents prepared or signed in the Office and maintained by date.

Dispose of when 3 years old.

Deputy Assistant Secretary for International  
Policy Coordination

155. International Policy Subject File. The file reflects the assignments of a varied policy nature given to the Deputy Assistant Secretary by the Secretary, Under Secretary, or Assistant Secretary for Policy covering the many aspects involved in the international programs of the Department. It documents the staff work performed

for these top officials and the preparation of policy statements or position papers and the like, and includes such subjects as Grain Reserves, Agriculture, Copper, Various Commodities, Dollar Devaluation, Trade/Exports, Tourism, Balance of Trade, Speeches, and other subjects pertaining to international trade and economic conditions.

The file also contains papers pertaining to the coordination of Secretarial programs relating to international matters within the Department and with related Federal agencies, as well as papers relating to such policy studies as are assigned. Arranged alphabetically by subject topic.

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

156. Administrative Subject File. Consists of office copies of documents pertaining to such internal house-keeping matters as time and attendance, travel, taxi, transportation, and other similar housekeeping activities.

Dispose of when 2 years old.

157. Chronological Files. The file consists of a copy of documents prepared or signed in the office and filed by date.

Dispose of when 2 years old.

158. Staff Working Paper Files. These files maintained by individual staff members consist of background papers, work papers, extra copies, drafts, and technical reference materials pertaining to the particular staff assignments given to the individual members.

Dispose of when no longer needed for current business.

ASSISTANT SECRETARY FOR SCIENCE AND TECHNOLOGY

The Assistant Secretary for Science and Technology has authority over the scientific and technological affairs of the Department, and oversees research and development activities, coordinates environmental affairs, and advises the Secretary and other Commerce officials on science and technology. The major scientific and technical programs are conducted by the National Bureau of Standards, the Patent and Trademark Office, and the National Technical Information Service.

The Assistant Secretary also chairs the Commerce Technical Advisory Board, runs the Department's Science and Technology Fellowship Program, and supervises the Offices of Environmental Affairs and Product Standards.

The position of Assistant Secretary for Science and Technology was established pursuant to Public Law 87-405, signed February 16, 1962. Although at that time the Assistant Secretary supervised somewhat different programs, the basic responsibility for the Department's scientific and technological activities and the role of chief science adviser to the Secretary have not changed.

159. Scientific and Technological File. The file reflects the leadership responsibilities of the Assistant Secretary of the Department's scientific and technological programs. It covers the oversight of such programs as those for which the Assistant Secretary has responsibility for signature of correspondence or other documents, coordination of activities, and the like. It is arranged alphabetically by subject topic.

Permanent. Retire to SHA each year. Transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

160. Federal Coordinating Council for Science, Engineering, and Technology and Related Organizations File. The file reflects the work of the Assistant Secretary in chairing this Presidential Council, and in representing the Department on many related or similar type Councils or conferences, or subcommittees. Arranged by name of council or organization.

Permanent. Retire to SHA every 4 years. Transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

161. Trip and Speech File. Copies of speeches, travel orders, itineraries and summary trip reports by the Assistant Secretary and immediate assistants.

Start a new file every year, retire to SHA and dispose 4 years later.

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

Dispose when 2 years old.

163. Public Information File. Correspondence and some printed and processed material used to establish a better mutual understanding between the Department, business, and the scientific community of the content and objectives of the scientific and technological programs conducted in each area.

Dispose 1 year after a change of the Assistant Secretary for Science and Technology.

164. Scrap Book. Contains copies of speeches, statements, testimonies, and selected newspaper clippings made, or about, the Assistant Secretary. Arranged chronologically.

Permanent. Retire to SHA when 10 years old, transfer to WNRC 5 years. Offer for transfer to the National Archives 20 years thereafter.

165. Commerce Science Fellowship File. Papers relating to a fellowship program operated by the Department for outstanding employees with a scientific background wherein they are given experience or training in other government agencies that are scientifically oriented. Program arrangements are also included.

Place closed cases in a separate file. Break the closed file every 2 years, retire to SHA and dispose 3 years later.

166. Scientific Operations File. Contains reports prepared and submitted by operating units of the Department or in other areas over which the Assistant Secretary has cognizance. Also contains papers generated by or about committees on which the Assistant Secretary is represented or in which he has a special interest. Some documentation is included on programs of other government agencies, studies, and policy matters. Arranged alphabetically by subject.

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

166a. Biographical Files. Consists of records pertaining to biographies of employees of the Office of the Assistant Secretary for Science and Technology and organizational components reporting to the Assistant Secretary and for members of the Commerce Technical Advisory Board and its subcommittees.

Retire to SHA 1 year after change of Assistant Secretary, after bringing forward biographies of active personnel or members. Transfer to WNRC 2 years later. Dispose of when 25 years old.

#### Advisor for International Activities

167. Subject Numeric File. Papers, reports, incoming and outgoing correspondence, State Department releases, releases of foreign scientific bodies, and the like, reflecting U.S. relations with, and participation in the world's scientific activities.

Dispose when 5 years old.



Commerce Technical Advisory Board (CTAB)

The Commerce Technical Advisory Board was established by the Secretary of Commerce in 1963 to provide an external source of advice on important technical issues and on the technical activities of the Department. It consists of about 20 members, all recognized leaders in engineering, science, education, industrial research, business, and labor.

During its lifetime, the Board has extended its influence throughout the Federal Government by chartering panels to study and report on major issues which cannot be disposed of at the Board's regular meetings. Specific proposals contained in its panel reports -- on the patent system, transportation research and development, engineering and commodity standards, and other areas -- have sparked major changes in, and reappraisals of, public policies.

168. CTAB Meeting File. Documents the meetings of this important advisory board, and consists of agendas, minutes of meetings, reports of subcommittees or task forces, and related records including audio tapes of minutes. Arranged by date.

Permanent. Retire to SHA when there is a change of Commerce representative. ~~Transfer to WNRC 2 years later.~~ Offer for transfer to the National Archives <sup>5</sup> years thereafter.

169. CTAB Subject File. Papers documenting the activities of the Board including establishment and discontinuance of panels to explore specified subjects or problem areas. Copies of outgoing communications from the Board. The Board does not investigate specific problems or generate reports itself. It establishes and directs panels to do this work. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years, retire to SHA, and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

170. CTAB Panel Papers. Contains incoming and outgoing communications on arrangements for panel meetings. Also included are background papers provided panel members at

each meeting and any reports, minutes, or other documentation generated by the several panels. Arranged alphabetically by name of panel.

Permanent. Start a new file every 5 years, retire to SHA, and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

171. CTAB Membership Lists. Lists of active and inactive members of the Board. Arranged by date.

Permanent. Start a new file every 5 years, retire to SHA, and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

### Office of Environmental Affairs

The Office of Environmental Affairs was established in February 1972 to provide scientific and technological advice and coordination for a wide range of activities related to air and water pollution, land use, solid waste, recycling, noise, pesticides, toxic substances, and energy. It coordinates Commerce review of draft environmental impact statements prepared by other Departments, pursuant to the National Environmental Policy Act of 1969, and provides expert technical assistance in the evaluation of the environmental consequences of proposed Federal actions.

The Office receives and arranges for comments on hundreds of draft environmental statements prepared by other departments and agencies. It supervises the preparation and clearance of environmental impact statements prepared within the Department. It reviews and comments on proposed environmental legislation, regulations, and policies. It is concerned with maintaining Departmental interests as they are affected by such environmental legislation as the Federal Water Pollution Control Act Amendments of 1972, the Clean Air Act of 1970, and various amendments to the Federal Insecticide, Fungicide, and Rodenticide Act.

The Office also represents the Department concerning international environmental affairs, participating in such groups as the Interagency Committee on International Environmental Affairs, the United Nations Environment Program, and the Environment Committee of the Organization for Economic Cooperation and Development. It also has responsibilities under the US-USSR Environmental Agreement.

172. Environmental Subject File. This file consists of correspondence and related subject materials from government and private sources relating to environmental protection matters as they affect the Department of Commerce program. Included are such subjects as Canadian Pipeline, Disaster Relief Act of 1970, EPA Aircraft Noise Regulations, Environmental Resources Committee of the Domestic Council, Great Lakes Quality Agreement, Marine Pollution, Waste Heat Utilization, and the like.

This file represents the central office of the Secretary activities in coordinating and administering the environmental protection program for the Department, and is maintained by the Deputy Assistant Secretary for Environmental Affairs. Arranged alphabetically by subject.

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

173. Final Environmental Impact Statements. The file consists of final environmental impact statements sent to the Deputy Assistant Secretary for review, comment, or approval pertaining to various projects in which the Department has an interest.

Retire to SHA every 6 months. Transfer to WNRC 6 months thereafter. Dispose when 25 years old.

174. Draft Environmental Impact Statements. The file consists of draft environmental impact statements sent to the Deputy Assistant Secretary for review and comment pertaining to various projects in which the Department has an interest. Filed by assigned number.

Retire to SHA every 6 months. Transfer to WNRC 6 months thereafter. Dispose when 10 years old.

175. Administrative Subject File. The file consists of office copies of documents concerning such internal house-keeping activities of time and attendance, personnel, budget, travel, transportation, and similar housekeeping matters.

Dispose of when 2 years old.

Office of Product Standards (OPS)

The Office of Product Standards shall be headed by the Director, OPS, who shall report and be responsible to the Assistant Secretary for Science and Technology (the "Assistant Secretary"). The Director shall also have the rank and title of Deputy Assistant Secretary for Product Standards, under the Assistant Secretary. The Director shall be assisted by a Deputy Director, plus professional and clerical staff needed to accomplish the mission of OPS. The Deputy Director shall perform the functions of the Director during the latter's absence.

The Assistant Secretary in exercising supervisory responsibility over OPS shall ensure that matters handled by OPS for the Assistant Secretary's or the Secretary's action are fully coordinated with the Assistant Secretary for Industry and Trade, the Assistant Secretary for Policy, the Assistant Secretary for Administration, and other Secretarial officers to the extent that their areas of responsibility and interest are involved, and the Assistant Secretary shall otherwise ensure that the Director, OPS, directly coordinates the work of OPS with the Secretarial officer and operating unit heads whose responsibilities are affected thereby.

OPS exists to strengthen the ability of the Department to contribute to the development, coordination, evaluation, and effectiveness of U.S. domestic and international standards policy. OPS thereby serves the public interest in contributing to a more responsive and efficient U.S. standards policy including, for example, reduction in costs associated with standards development and use, promotion of U.S. trade interests, and well-being of consumers and others affected by standards. The National Bureau of Standards provides technical, analytical, and operational

support to OPS, as directed by the Assistant Secretary. Accordingly, OPS shall contribute to the solution of national and Federal policy issues concerning:

- a. Development of an efficient and responsive U.S. national standards policy.
- b. Responsibilities of the Federal Government and its various agencies in development or aiding in the development of standards.
- c. The forms of participation in standards-setting activities by Government, industry, the scientific community, and the general public.
- d. The means and effectiveness of participation by the United States in international standards activities.
- e. Legal, economic, and other aspects of assuring adherence to or compliance with standards.
- f. Effective use of standards in the national interest.
- g. Promotion of consumer welfare through standards.
- h. Department of Commerce positions on relevant legislation, directives from the Executive Office of the President, and international agreements on standards.
- i. Metric conversion policy, as regards standards.
- j. Other issues or problems relating to the development and use of standards.

176. Product Standards Program Subject File. This centralized file of the Office reflects the various functions and activities listed above for which this Office is responsible. As such, it consists of correspondence and related materials needed for documenting the work of the office. The file is basically arranged alphabetically by subjects, but also includes certain segments filed by name of organization and covers the period 1967 to date.

Among the subjects included in the file are: Proposed OMB Circular, Flue Vent Dampers, Testimony-Hearings on Energy and Power, Assistant Secretary, Commission of

Patents, Commerce Counsel, Cabinet Meetings, Speeches, White House Directives, Reports to the President, American National Standards Institute, American Society of Mechanical Engineers, Stanford Research Institute, Legislation, Committees and Organizations, Long Range Goals, Atomic Energy Commission, Consumer Product Safety Commission, Fair Packaging and Labelling Act of 1966, and American Society for Testing and Materials. Also included are important documentation reflecting the Department's policies on metrication in the United States and the adoption of the metric system.

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

177. National Voluntary Laboratory Accreditation Program File. This file consists of detailed documentation reflecting the administration of the office program for accreditation of laboratories to test various types of products. On a product basis, such as insulation or concrete, criteria committees are established to develop the criteria under which the accreditation is to be judged. Under this developing program, once the criteria for accreditation of laboratories for a particular product are formally determined and issued, records on the individual laboratory accreditations are accumulated. This is the record copy file on this program of the office.

Retire to SHA for transfer to WNRC when 10 years old. Dispose of 10 years thereafter.

178. Voluntary Consumer Products Information Labelling Program File. The files documenting this pilot program consist of preprogram establishment papers, and product oriented materials reflecting the labelling of products under the program. In establishing the program, the records consists of hearing records, proposals published in the Federal Register, public comments, correspondence, congressional input, monthly reports, and related records. The materials on individual product labels consists of transmittals of records regarding labels and office replies.

Retire to SHA for transfer to WNRC when 10 years old. Dispose of 10 years thereafter.

179. Federal Agency Standards Involvement Files. The file consists of materials received from various Federal agencies and related correspondence pertaining to activities of these agencies in the standards area. The file is used primarily for reference or information purposes.

Dispose of when superseded or obsoleted.

180. Chronological File. The file consists of an extra copy of documents prepared or signed in the Office of the Director or Deputy Director and filed by date.

Dispose of when 3 years old.

181. Russian Standards Translation Files. These files consists of records pertaining to receipt of various materials on Russian standardization and documents concerning translation of the materials and relations with NTIS and NBS on translating and disseminating the translated documents.

Dispose of when 5 years old.

182. Interagency Committee on Standards Policy Files (ICSP). These files consists of the Department record copies of documents reflecting the establishment, organization, membership, functioning, meetings, and reports of the committee and its various subcommittees involving the establishment of Department policies regarding standardization. Arranged basically by date.

Permanent. Retire to SHA when 5 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

183. Administrative Subject File. The file consists of office copies of papers reflecting internal housekeeping activities such as personnel, space, requisitions for supplies or services, machine runs of cost center statements, accounting documents, time and attendance records, travel, and other similar types of housekeeping or administrative papers.

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

184. Budget File. The file consists of office materials pertaining to the development of budget requests justifications, and execution reports and related papers. The main files on budget are maintained by the central Department Office of Budget and Program Evaluation and the National Bureau of Standards which funds this office.

Dispose of when 4 years old.

#### CHIEF ECONOMIST

a. The Chief Economist shall advise the Secretary on economic and statistical affairs; shall serve as adviser to other Commerce officials with respect to economic and statistical matters; and shall serve as the Department's liaison with the Council of Economic Advisers, the Council on Wage and Price Stability and other government agencies concerned with economic and statistical affairs.

b. The Chief Economist shall exercise policy direction and general supervision over the Bureau of the Census and the Bureau of Economic Analysis.

c. The Chief Economist shall be assisted by the following officials:

1. The Deputy Chief Economist
2. The Director of the Office of Economic Affairs
3. The Director of the Office of Federal Statistical Policy and Standards
4. The Director of the Office of Industrial Economics

185. Economic Subject File. The file reflects the central liaison role of the Chief Economist in representing the Secretary with the Council of Economic Advisers and the Council on Wage and Price Stability; in issuing periodic economic reports on the studies of the country's economy through the media and in exercising policy direction and general supervision over the Bureau of the Census and the Bureau of Economic Analysis. Typical subjects include:



Monthly Round-up Report, Weekly Economic Data Report, Secretarial Briefings, Urban Data Base Program, Statistical Policy Coordination Committee, Controlled Correspondence, Regulatory Analysis Review Group, Council of Economic Advisers, Council on Wage and Price Stability, Economic Report of the President, President's Public Reporting Reduction Program, Economic Indicators, Environmental Affairs, Pollution, Energy Programs, and Gross National Product Reports. The file also contains records pertaining to councils, committees, boards, conferences, and task groups upon which the Chief Economist or immediate staff members serve. Alphabetic by subject.

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

186. Speech File. Contains one processed copy and related papers pertaining to speeches of the Chief Economist. The Office of Public Affairs maintains the record copy of speeches.

Retire to SHA when there is a change of Chief Economist. Dispose 2 years later.

187. Intra-Departmental Operating File. The consists of selected incoming and outgoing communications of the Bureau of the Census and the Bureau of Economic Analysis reflecting the general supervision and direction of the Chief Economist over these operating units of the Department. Alphabetic by subject.

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

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

Dispose of when 2 years old.

Deputy Chief Economist

189. Deputy Economist Subject File. Consists of documents reflecting the varied assignments placed on the incumbent by the Chief Economist such as supervising the Office of Economic Affairs. Concerns such matters as reports of studies, economic reports, transcripts of conferences, forecasts of gross national product, speeches, and similar papers dealing with the domestic economy.

Start a new file every 2 years. Retire to SHA and transfer to WNRC 3 years later. Dispose of when 15 years old.

Office of Economic Affairs

The Director, Office of Economic Affairs, is responsible for the following:

- a. Monitor and interpret current economic developments, prepare projections of the economic outlook, and draft speeches, articles and reports on economic issues.
- b. Review and evaluate the economic impact of proposed legislation and assist the Office of the General Counsel in preparing Departmental positions on such legislation.
- c. Review and evaluate analyses by agencies within and outside of Commerce on the economic impact of government regulations and legislation pursuant to Executive Orders 11821 and 11949 and Department Administrative Order 218-6.
- d. Represent the Chief Economist in interagency working groups involved in the preparation of economic forecasts and similar material.
- e. Assist the Chief Economist in advising the Secretary, the Council of Economic Advisers, the Council on Wage and Price Stability and related agencies on economic policy matters.

f. In conjunction with the Office of Public Affairs, coordinate contacts with the communications media concerning press releases, public statements and news conferences by the Chief Economist.

g. Review material prepared for use by other Departmental officials to assure that the information contained therein regarding the current economic situation is accurate and timely.

189a. Committee Files. Papers of the Commerce Committee on the Law of the Sea and the Economic Advisory Committee including the "Watchdog Report" which is a bi-monthly report to the Secretary on proposed steps and measures deemed to be necessary to advance and maintain the national economy. Arranged alphabetically by committee, thereunder chronological.

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

#### Staff Economists

190. Economic Input Subject Files. The files reflect the staff work of the various economists of the office in assisting the Director and the Chief Economist in preparing required reports or speeches undertaking various staff studies, meeting with various groups, committees, or councils involving the domestic economy, and preparing briefing materials or position papers as needed. These files of individual economists cover such matters as economic indicators, gross national product, industrial outlook reports, impact of and liaison with regulatory agencies and their effect on the economy, energy programs, environmental matters, urban affairs, and other matters affecting the domestic economy. The basic information is documented in the subject file of the Chief Economist.

Retire to SHA when 3 years old. Dispose of 3 years thereafter.

191. Economic Study and Report Files. These files of individual economists of the office reflect the background materials and working papers, drafts, and related papers involving various special studies and reports undertaken, such as those covering the economy of Puerto Rico, or of the U.S. Economy for the Economic and Social Commission for Asea and the Pacific, or on a Balanced Federal Budget. The completed reports of these studies are maintained in the subject file of the Chief Economist.

Retire to SHA when studies are completed. Transfer to WNRC 3 years later. Dispose of when 15 years old.

#### Economic Information Officer

192. Public Relations Subject File. The file consists of background materials on economic matters, including copies of press releases prepared for the Chief Economist, or copies of press releases prepared by the Bureau of the Census or the Bureau of Economic Analysis. The file covers such subjects as Newsclippings, Data Center, Daily Radio Spots, Leading Indicators, Consumer Price Index, and similar economic matters. The News Room of the Office of Public Affairs maintains record copies of press releases.

Retire to SHA when 3 years old. Dispose of 3 years later.

193. Speech File. The file consists of copies of speeches prepared by or maintained by the Information Officer involving economic subject matters. The record copy of speeches is maintained by the Office of Public Affairs.

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

## Office of Industrial Economics

The Office of Industrial Economics is responsible for the following:

- a. Coordinate the development and maintenance of a data system to aid in the analysis of issues relating to specific industries or sectors of the economy.
- b. Perform research and analysis on industrial and sectoral problems, including matters such as long-run growth and stabilization, cost-price relationships, short-run forecasts of industrial activity on a detailed basis and the impact of economic conditions on businesses of varying sizes.
- c. Evaluate the impact of proposed government rules, regulations and legislation on specific industries or sectors.
- d. Assess the outlook for capacity utilization, by industry, and the prospects of supply and material shortages.
- e. Determine the impact on specific industries of major development and events, such as natural disasters, strikes or major price increases.
- f. Review and comment on industrial analysis studies performed by other Commerce units.
- g. Assist the Chief Economist in advising the Secretary, the Council of Economic Advisers, the Council on Wage and Price Stability and other economic policy agencies on matters affecting specific industries and sectors.

194. Industrial Economics Subject File. The file reflects the mission of the office with regard to: developing a data system on specific industries, evaluating the impact of government regulations on specific industries, determining industrial capacity data, forecasting the impact of economic conditions on various types of businesses, performing research and analysis on specific industries through studies and projects, developing early warning systems and industrial outlook forecasts, meetings of

various councils or committees, and similar types of industrial economic activities. Basic information on these matters is maintained by the Chief Economist.

Retire to SHA every 3 years. Transfer to WNRC 3 years later. Dispose of 5 years thereafter.

195. Industrial Projects and Studies File. The file reflects the carrying out various industrial economic studies and projects by the Office. These include various industry model studies, studies of aluminum industry, industrial outlook studies, forecasting studies, studies involving monitoring and analysis of domestic business conditions such as early warning studies, and similar economic industrial studies or projects. Arranged by study or project.

- a. Final reports or results of projects or studies and materials documenting methodology applied - Permanent. Retire to SHA after 5 years. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.
- b. Other study or project records - Dispose of 2 years after completion of study or project.

196. Administrative Subject File. The file consists of office copies of documents relating to such internal housekeeping matters as personnel, time and attendance, budget, travel, requisitions for services of supplies, and similar housekeeping matters.

Dispose of when 2 years old.

197. National Industrial Pollution Control Council File. These are papers pertaining to this former council and Department representation in its activities. The Council was an advisory body reporting to the President through the Secretary of Commerce on various aspects and problems involving industrial pollution control activities.

- a. Minutes of meetings, reports and studies undertaken by the Council - Permanent. Retire to SHA and transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.
- b. All other papers including membership lists - Dispose of when 10 years old.

Office of Federal Statistical  
Policy and Standards

The Director of the Office of Federal Statistical Policy and Standards shall be responsible for the following functions:

a. Plan and promote the development of an improved organizational structure for the performance of statistical services by the Federal Government.

b. Foster the development of coordinated programs so that information collected and analyzed by Federal agencies meets the needs of policymakers in operational and research programs.

c. Reduce burdens imposed on respondents to statistical surveys by eliminating duplication in existing statistical programs and research services and by promoting joint agency programs to plan, conduct, and use statistical and research methods and materials.

d. Initiate actions, when appropriate, to designate single collecting agencies to serve the needs of all agencies in a particular field and assure the availability and interchange of statistical and analytical information among Federal agencies.

e. Investigate and determine whether proposals to collect information for statistical purposes meet the needs of Federal agencies and the public.

f. Coordinate the activities of Federal agencies in the development of Federal, State, and local cooperative programs in statistics, with particular emphasis on those areas where Federal and State programs overlap.

g. Identify and resolve common Federal statistical problems and policies through the establishment of, and reliance on, interagency advisory committees.

h. Act as liaison in the coordination of statistical reporting between the Federal Government and representatives of business and industry as appropriate.

i. Serve as lead agency for the U.S. Government in its relationship and activities with international statistical organizations.

j. Development and promulgate Government-wide standards with respect to classification systems, statistical procedures, and data dissemination.

k. In conjunction with the Office of the General Counsel, provide advice to the Office of Management and Budget with respect to proposed legislation on statistical matters; the review and preparation of that portion of the annual Budget of the U.S. Government dealing with the gathering, interpreting, and disseminating statistics and statistical information; and on clearance of proposed statistical reports.

l. Provide assistance to the Cabinet-level Statistical Policy Coordination Committee in its efforts to improve Federal statistical services.

198. Director's Program Subject File. The file consists of documents maintained by the Director on program subject matters such as the development of Governmentwide policies for statistical programs, coordination of the Federal

Government statistical programs within various agencies, coordinating the providing of statistical information by Federal agencies to various international statistical organizations upon which the U.S. is a member, reviewing the budget requests of Federal agencies concerning statistical programs and providing advice to OMB with respect to such requests; and to such projects or studies as are required to carry out its basic responsibilities.

Included in the file are records documenting the participation of the Office in various interagency or international statistical committees, councils, or boards, such as the Cabinet-level Statistical Policy Coordination Committee, the Federal Committee on Standard Metropolitan Statistical Areas, or the Federal Committee on International Statistics; speeches; record copies of publications, such as the Statistical Policy Handbooks, issued by the Office or of other project results; participation in various U.N. and other international bodies; and similar type records. Alphabetic by subject.



Permanent. Retire to SHA when 2 years old. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 15 years thereafter.

199. Administrative Subject File. Consists of office copies of documents pertaining to such internal house-keeping activities as personnel, budget, time and attendance, travel, equipment and services, supplies, and similar housekeeping activities.

Dispose of when 2 years old.

200. Chronological File. The file consists of an extra copy of documents prepared or signed in the office and maintained by date.

Dispose of when 2 years old.

201. Deputy Director's Economic Statistics Subject File. Consists of materials pertaining to the segment of the office program concerning the domestic economic statistics program coordination and standards, and maintained for the officials responsible for the economic portion of the program. It includes such subjects as Agriculture, Domestic Finance, Energy, Environment, Labor, Industrial Classification, Productivity, Wages and Compensation, National Economic Accounts, Revenue Sharing, and the like. The file reflects the program papers on the projects and standards of the office and the relations with various Federal agencies, committees and groups concerning economic statistics. Also may include documentation generated by this office concerning cross cutting issues for the Federal Statistical System such as confidentiality treatment of data or improvements in statistical methodology or Federal, State, local statistical program, etc.

Permanent. Retire to SHA when 2 years old. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 15 years thereafter.

202. Deputy Director's Social Statistics Subject File. Consists of materials pertaining to the segment of the office program concerning the domestic social statistics program coordination and standards, and maintained for the officials responsible for the social portion of the program. It includes such subjects as 1980 Census (population), Civil Rights, Crime, Disability, Education, Household Income,

Poverty, Social Accounts, Race and Ethnicity, and the like. The file reflects the input of these officials into the projects and standards, and the relations with various agencies, committees and groups concerning social statistics. Also may include documentation generated by this office concerning cross cutting issues for the Federal Statistical System such as confidentiality treatment of data or improvements in statistical methodology or Federal, State, local statistical programs, etc.

Permanent. Retire to SHA when 2 years old. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 15 years thereafter.

203. Working Files of Staff Members. The files consist of extra copies of documents, drafts, background materials, and various working papers maintained by individual staff members of the office for convenience of operations.

Dispose of when no longer needed for current business.

#### ASSISTANT SECRETARY FOR ADMINISTRATION

a. The Assistant Secretary shall serve as the principal adviser to the Secretary and as the chief officer of the Department on administrative management. As such, the Assistant Secretary shall be concerned with:

1. Personnel programming and management, including labor-management relations, employee occupational health, and the direction, administration, and processing of all personnel matters.
2. The improvement of management structures, systems, tools and practices towards achieving the highest practical degree of effectiveness, efficiency and economy in programs of the Department.
3. The planning, budgeting and management of financial resources so as to assure optimum utilization of funds in carrying out programs of the Department.
4. The interpretation of Presidential directives in matters of program planning, management control, and operational evaluation; and the initiation of appropriate actions (including studies) relevant thereto.

5. The policy, planning, procurement, and management of automatic data processing (ADP) and associated telecommunications resources to assure their optimum utilization in carrying out Commerce programs.

6. The efficient provision of common administrative and related support services required for the effective conduct of programs of the Department. These services shall include procurement, property, space, safety, motor vehicle, mail, communications, library, and related activities.

7. The audit of existing or contemplated operations and contracts or grants and other agreements of the Department to determine deficiencies that may exist, to recommend corrective action, to uncover opportunities for increased efficiency and economy, and to establish a basis for settling contracts and claims.

8. The achievement by the Department of a high state of planning and readiness for responding to national emergencies and major disasters.

9. The conduct of investigations, security matters and physical protection assignments as permitted by law (and as set forth in Department Organization 20-6) in order to carry out or support Department and related programs.

10. The provision of printing (including micropublishing), design, graphics, editorial and related promotional, distribution and publishing control services as will contribute to the effectiveness of the Department's programs, and other printed materials, with due regard for reasonable costs.

11. The conduct of activities to ensure equal employment opportunity in the Department, including affirmative action for employees and job applicants; nondiscrimination in Federally assisted programs, activities and projects; and equal employment opportunity by Federal contractors and contractors involved in Federally assisted construction contracts.

12. Liaison with central agencies on grants management policy, and leadership and coordination of grant administration within the Department.

13. The conduct of activities to provide a focal point in the Department for foreign intelligence matters to support the requirements of Commerce officials and organizational units.

b. In carrying out the above responsibilities, the Assistant Secretary shall:

1. Develop and issue policies, standards and procedures for administrative management functions throughout the Department, and provide functional appraisal and supervision in the conduct of such functions by organizational units.

2. Directly provide the administrative management services required by the Office of the Secretary, and as determined by the Secretary or by agreement, (e.g., between the Assistant Secretary and the Secretarial Officer concerned) directly provide particular administrative management services to specified organizational units of the Department or to other organizations.

3. Conduct a centralized audit function that shall extend to the activities of all organizational units of the Department, with such special exceptions as the Assistant Secretary may determine, and of other organizations as may be arranged.

4. Conduct a centralized procurement function that shall serve the Office of the Secretary and, as determined by the Assistant Secretary, various organizational units of the Department and other organizations as may be arranged.

5. Provide central publications, printing, and related services for organizational units of the Department, and other organizations as may be arranged, except as the Secretary may authorize particular organizations to provide some such services, as specified, for themselves.

6. Take appropriate action, in accordance with law and pertinent Department orders, with respect to claims and claim procedures involving the Department.

c. The Assistant Secretary shall be responsible for coordination and liaison with the Office of Management and Budget, the Civil Service Commission, the General Services Administration, the General Accounting Office, and the Government Printing Office on all applicable matters of administrative management, provide central liaison for the Department with the Appropriations Committees of the Congress, coordinate administrative management matters with other departments and agencies, and otherwise represent the Department on such matters with public or private groups.

204. Policy and Management File. These are papers generated by the Assistant Secretary and the Deputy Assistant Secretary and immediate staff relating to the executive direction of the administrative management activities of the Department, including such areas as organization and management, personnel, finance, automatic data processing, administrative services and procurement, printing and publications, program evaluation, civil rights, and related areas. Arranged alphabetically by subject topic.

Permanent. Start a new file every year. Move forward active materials as needed, Retire to SHA and transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

205. Job Applications. Applications received in the office from job seekers.

- a. Successful applicants - Transmit to Office of Personnel.
- b. All others - Dispose of when 1 year old, or return to applicant, whichever is most appropriate.

206. Administrative Subject File. 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.

Dispose of when 3 years old.

207. Chronological File. The file consists of copies of documents prepared or signed by the Assistant Secretary and immediate staff, and filed by date.

Retire to SHA when 2 years old. Transfer to WNRC 4 years later. Dispose of when 10 years old.

#### APPEALS BOARD

The Appeals Board considers private contractor's protests on decisions which may be appealed to the Secretary. It also processes certain appeals in the fields of maritime subsidies, defense priorities, foreign excess property, and other cases as may be assigned. It is quasi-judicial in nature.

208. Contract Appeals File. Documentation of decisions rendered on appeals submitted by contractors with the Department. Included are transcripts of testimony and other related papers.

Retire closed cases to SHA every 2 years and transfer to WNRC 3 years later. Dispose 10 years after closure of the cases.

209. License Appeals. These are copies of decisions, transcripts of testimony, and related papers on an appeal submitted to the Board to adjudicate disagreement on an export license decision, or denial of a foreign excess property permit.

Retire closed cases to SHA every 2 years and transfer to WNRC 3 years later. Dispose 10 years after closure of the cases.

210. Maritime Subsidy Appeals. Contains petitions for review, memorandums to the Secretary, orders, and related papers pertaining to maritime subsidy decisions. Copies of the maritime documents and the other evidential papers are removed and sent to the Maritime Administration, after the Secretary of Commerce has acted on review petition.

Retire closed cases to SHA every 2 years and transfer to WNRC 3 years later. Dispose 10 years after closure of the cases.

211. Administrative Conference of the U.S. and Other Conferences. The Administrative Conference of the U.S. was established by an act of Congress to develop recommendations for the improvement of Federal administration of programs effecting private individuals and business firms through administrative processes. These papers include copies of agenda, notes, recommendations, and other committee papers sent to the Department representative on the Conference. Similar papers exist for other conferences, committees, or boards, such as those for Federal Procurement Policy or Management Council. Arranged by conference.

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

212. Operating Papers of the Board. These include annual reports describing the functions and organization of the Board, its rules and procedures, docket sheets, and the like. Arranged alphabetically by subject.

Permanent. Retire to SHA when there is a change of Departmental representative and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

OFFICE OF ADMINISTRATIVE SERVICES  
AND PROCUREMENT (OAS&P)

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5 and subject to such policies and directives as the Assistant Secretary for Administration may prescribe, OAS&P shall:

- a. Have Departmentwide staff responsibility for procurement and supply (other than ADP equipment and services), library, space, motor vehicle management, occupational safety and health, telecommunications and mail management, historic preservation, energy conservation, traffic management, and certain aspects of records management.
- b. Perform procurement for all elements of the Department, except as otherwise provided in Department Administrative Order 208-2, "Procurement Authority."
- c. Provide services in the functional areas, enumerated in subparagraph a. above, required by the Office of the Secretary and as relevant to elements of operating units located in the Main Commerce Building.

Office of the Director

213. Administrative Management File. Contains incoming and outgoing correspondence, production and management reports, studies concerning a broad spectrum of administrative functions with special emphasis on procurement, supply, and materiel management. Also included are some studies and background papers relating to the establishment of Department-wide management standards for certain functions. Considerable documentation is devoted to contracting policies and procedures. The dual role of the office which serves as both a staff and line operating unit results in the accumulation of a quantity of house-keeping papers interfiled with management and policy documents with longer term value. Arranged alphabetically by subject.



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

214. Chronological File. The file consists of a copy of documents prepared or signed by the Director or his immediate staff and maintained in date order.

Retire to SHA each year and dispose of when 5 years old.

#### Productivity Manager

215. Productivity Accounts. Computer runs showing input and output data for every administrative service cost center in the Department. The data are used to calculate mathematical formula models with which manpower and budget requirements can be projected and managed.

Retire one copy of each account to SHA at the end of every 10 years, and dispose 5 years later.

216. Productivity Accounting Computation Sheet. This is a report of manhours worked shown by the day of the week, name of the chargeable customer organization, net manhours worked, productivity of the organization, and computation of work effectiveness and work cost.

Retire to SHA when 1 year old and dispose 5 years later.

#### Special Programs Manager

217. Safety Management Papers. These are incoming and outgoing copies of correspondence, reports, comments, and background documentation pertaining to the coordination of the Department's safety program and the provision of adequate guidelines, standards and procedures for it.

Start a new file every 5 years, retire to SHA and dispose 5 years later.

218. Federal Safety and Health Council. These are papers received or generated by the Departmental representative. They are mostly promotional or informational materials.

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

219. Departmental Safety Council Papers. These are notices of meetings, agenda, minutes of meetings, and other papers received or generated by the Departmental representative on the Council which serves an advisory role in directing the Department's program.

Dispose after 5 years.

220. Supervisor's Accident Investigation Report (Personal Injury). These are copies submitted to the Departmental Safety Program Coordinator for purpose of reporting and maintaining oversight of the program.

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

221. Statistical Worksheets. These are tabulations developed in the process of preparing statistical reports on motor vehicle and safety accidents.

Dispose 1 month after submission of the related statistical report.

222. Advanced Driver Improvement Training Course Materials. Documentation accumulated in the process of preparing training courses for drivers. These are eventually duplicated in the printed or processed material used to conduct training sessions.

Dispose 6 months after final documentation is printed to be used at the sessions.

223. Applications for Operator's Identification Card. These are copies of motor vehicle operator's applications for a license with a physical fitness statement for applicants from the Office of the Secretary and the area which it serves.

Dispose when superseded, or when reissued at the end of 3 years, or upon separation of employee.

224. Combined Federal Campaign File. Contains planning, promotional, and implementing documents with related reports of campaign progress and results.

- a. Plaques and citations - Display for 10 years and dispose.
- b. Papers - Dispose when succeeding campaign is completed.

225. Savings Bonds Campaign File. Contains planning, promotional, and implementing documents with related reports of campaign progress and results.

Dispose when succeeding campaign is completed.

#### Administrative Officer

226. Budget Papers. Work and other backup papers for the first budget presentation of OAS&P with any revisions thereof that may occur through congressional passage of the budget. The papers are arranged by fiscal year thereunder by type of documentation.

- a. OAS&P Budget and Working Capital Fund (WCF) Budget - Retire one copy of each budget to SHA every 5 years and dispose 5 years later.
- b. Work Counts - Retire to SHA every year and dispose 2 years later.
- c. All other papers - Retire to SHA every 3 years and dispose 2 years later.

227. No Year File. These documents are selected by the Administrative Officer and placed in a special arrangement because of their potential value in the preparation of future budgets and managing the current operating budget.

Retire to SHA when no longer needed for current business and dispose 3 years later.

228. Roster of Employees. Card file showing name of employee, grade, position number, reassignment, changes of classification, and the like.

Withdraw cards when employee is separated from OAS&P and include in closed case folder.

229. Personnel Case File. Office copies of notification of personnel actions, requests for personnel actions, performance ratings, commendations, and related papers.

Close case upon separation of employee from OAS&P, retire to SHA, and dispose 2 years later.

230. Personnel Subject File. Copies of organization charts, rosters, personnel regulations, orders, security clearances, education survey lists, vacancy announcements, and training and timekeepers instructions.

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

#### Deputy Director for Operations

The Deputy Director for Operations shall be the Director's principal assistant for operations and shall supervise the operating divisions.

231. Administrative Operations File. Documentation reflecting the role of the Deputy Director as chief office services officer for the Office of the Secretary and the area which it serves. Some papers on procurement, space, and personnel are also included, since the Deputy Director is responsible for the internal operations of the Office of Administrative Services and Procurement.

Start a new file every 2 years, retire to SHA and dispose 5 years later.

## Property and Buildings Management Division

The Property and Buildings Management Division shall serve as the principal liaison between operating units and the GSA headquarters and regional offices on all real property and space management matters, including Federal Building Fund transactions. The Division shall also exercise personal property utilization surveillance over all operating units nationwide; and it shall operate an automated personal property system for the Office of the Secretary and other designated operating units. The Division shall be responsible for preparing the Commerce Telephone Directory; coordinating postage payments with the U.S. Postal Service; and providing office machine repairs, labor services and building liaison services with GSA for all operating units in the Main Commerce Building.

### Office of the Chief and Space Branch

232. Building and Ground File. Correspondence and related papers concerning the acquisition and maintenance of buildings and sites in the District of Columbia and surrounding area to house activities of the Department. Also contains documentation of the allocation of space in Main Commerce Building.

Start a new file every 10 years, retire to SHA 1 year later, and dispose 2 years later.

233. Building Photo File. These are glossy photographs taken of the Main Commerce Building at various states of its construction, after completion, and a quantity of shots of internal and external views of the Building deemed to be of special interest. Alphabetic by type of plan.

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

234. Property Management Correspondence. Incoming and outgoing correspondence and related material pertaining to subjects of a general nature on real and personal property management.

Start a new file every 2 years, retire to SHA  
1 year later, and dispose 1 year thereafter.

235. Real Property Reports. These are reports of the real property owned or leased by the United States and statistical summary reports of the property held in each of those categories by the Department submitted to General Services Administration each year.

Start a new file every 2 years, retire to SHA  
1 year later, and dispose 2 years later.

236. Real Property Entitlements. These include legal opinions, title searches, deeds, leases, easements, and similar conveyances of real property held by the Department.

Close the case when the Department disposes of the property and transmit all relevant papers to the General Services Administration.

237. New Construction File. Documentation of proposed construction from its earliest concept through the letting of a construction contract. The objective is to prevent cost overruns on unauthorized construction.

Close the case when construction contract is let.  
Retire to SHA 1 year later and dispose 2 years later.

238. Excess Real Property Papers. Documentation between headquarters and primary operating units of the units' intent to declare real property excess and affirmations of this intent in the form of declarations of excess property. Data are extracted from these papers for an annual report of excess real property submitted to General Services Administration.

Start a new file every 5 years, retire to SHA  
1 year later, and dispose 4 years later.

239. Collocation Real Property Management. Documentation of the real property characteristics of each field site or office held or used by the Department to ascertain the possibility of achieving a larger combination of compatible activities for greater efficiency.

Retire closed projects to SHA every 2 years and dispose 3 years later.

240. Relocation Site File. Documentation of the acquisition, equipment, and maintenance of relocation sites.

Dispose of individual documents when superseded and dispose of residual documents when the site is disposed of.

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

Start a new file every 4 years, retire to SHA 1 year later, and dispose when 10 years old.

242. Space Assignment List for Updating Personnel Statistics. This is an automated report prepared by the General Services Administration to replace the old system of each agency manually preparing Standard Form 111 and 111A and submitting them to GSA. At present each agency is submitted a proof printout of the space assignment list which it corrects and returns to the GSA, Data Processing Unit, where the master file maintenance tape is updated and a final printout of the report is produced for transmission to each agency.

Dispose when 15 years old.

#### Special Office Services Branch

243. Office Services Subject File. Papers pertaining to Building passes, telephone bills and services, preparation and distribution of the telephone directory, use of indicia for official mail, mailing procedures, distribution lists, and to the official seal and flags of the Department.

Break file every 3 years, retire to SHA, and dispose 2 years later.

244. Telephone Bills. Copies of bills for telephone service with related papers concerning the share of payment owed by each primary operating unit. The fiscal accountability copy of these bills and papers are maintained in the Finance Operations Division.

Dispose when 2 years old.

245. Job Control Records. These are job order requests for work to be performed by laborers employed by the Office of Administrative Services and Procurement.

Dispose when 1 year old.

246. Time, Cost, and Attendance Report - Leave Earning Personnel. Copies of the report for each employee of the Property and Buildings Management Division. The fiscal accountability copies are maintained in the Payroll Section, Finance Operations Division.

Dispose when 2 years old.

247. Supply, Equipment or Service Order. These are office copies of purchase orders initiated by the Office of Administrative Services and Procurement for services and other objects. Procurement and fiscal accountability copies are maintained in the Procurement Division and Central Accounting Division, respectively.

Dispose when 1 year old.

248. Service or Supply Order or C.O.D. Delivery Order. These are copies of order covering small purchases on the open market usually paid for out of imprest funds.

Dispose when 2 years old.

249. GSA Job Order. Copies of orders for work to be performed by Public Building Services personnel primarily, but sometimes by other GSA personnel.

Dispose when 1 year old.

250. Printing Requisitions. Copies of requisitions for printing initiated by the Office of Administrative Services and Procurement. The procurement copy is maintained



in the Office of Publications and the fiscal copy is maintained in the Finance Operations Division.

Dispose when 1 year old.

251. Invoice File. These are office copies of invoices with the related Schedule of Withdrawals and Credits, subscriptions, bills, and the like.

Dispose when 2 years old.

252. Receipt for Cash. These are office copies of sub-vouchers for cash from Imprest Funds. Procurement and fiscal copies are maintained elsewhere.

Dispose when 1 year old.

#### Personal Property and Warehousing Branch

253. Building and Labor Services. Papers pertaining to building passes, conference room assignments, building security, assignment of laborers, and the activities of the Security Officer of the Office of Administrative Services and Procurement.

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

254. Personal Property Subject File. Copies of excess personal property reports, transfers of excess personal property, applications for donation of surplus personal property, and the like.

Dispose when 5 years old.

255. Personal Property Inventory. Copies of a machine run of an inventory showing owner organization, date of inventory, standard value, number of items, condition, total standard value, and depreciated value.

Retire to SHA when 5 years old and dispose 5 years later.

256. Personal Property Inventory File. Contains hot copies of purchase orders for equipment and furniture and copies of Personal Property Inventory which lists items of furniture and equipment and their value allocated to specific offices.

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

257. Report of Excess Property. Copies of the report showing quantity, item description, unit acquisition cost, condition and authorized disposition.

Dispose when 5 years old.

258. Bills for Services of Laborers. Receipts for services performed by contract laborers and vendor's bills for same.

Dispose when 3 years old.

#### Equipment Repair Branch

259. Repair Receipts. Copies of requests and receipts for repair of typewriters.

Dispose when 1 year old.

260. Productivity Accounting Computation Sheet. These are carbon copies of a weekly production report submitted to the Program Analysis Officer, OAS&P.

Dispose when 6 months old.

## Communications and Transportation Division

The Communications and Transportation Division shall provide Department-wide review of major changes of telecommunications systems as defined by FPMR 101-35 and shall be the focal point in the Department for obtaining GSA approvals for these changes. In addition, the Division shall provide the following services for the Office of the Secretary and elements of other operating units in the Main Commerce Building, assigned Commerce annexes, the Regional Commissions, and upon request, other outlying and independently operated buildings not regularly serviced by the Division: telecommunications services including the operation of the DOC link in the worldwide State Department's telecommunications network, mail and messenger services, travel arrangements, receiving and shipping services, motor pool services, imprest fund services and internal distribution of publications for the Department and its component agencies.

261. Communications Subject File. Copies of plans, reports and related papers concerning provision of telecommunications for the Department in accordance with FPMR 101-34-109 and requests for telecommunication equipment submitted to General Services Administration for review. Also included is data on the telephone service that be required and other records pertaining to Division functions.

Start a new file every 2 years, retire to SHA and dispose 3 years later.

262. Telephone Record of Service and Bills. Copies of telephone bills and a listing of each piece of equipment in use.

- a. Bills - Dispose when 1 year old.
- b. Records of service and equipment - Dispose 1 year after audit or when 3 years old, whichever is sooner.

263. Telephone Service Plans. These are copies of floor plans of the building on which the location of telephone lines and office layout features have been drawn.

Dispose when they have served their purpose.

264. Telephone Requests. These are copies of orders for telephone service listing the equipment and the service desired and its location.

Dispose when 3 years old.

#### Travel Branch

265. Cash Receivables File. These are schedules of collections with supporting machine tapes and certificates of deposits.

Retire to SHA at end of each year and dispose 2 years later.

266. Acknowledgments of Request or Inquiry re: Publications. These are transmittals of and receipts for small amounts of cash in payment for publications and similar items.

Dispose when 6 months old.

267. List of Refunds. This is a list of customers to whom cash remitted is refunded, in whole or part, for one reason or another.

Dispose when 1 year old.

268. Foreign Travel Requests. These are copies of requests for security and official passport clearances for foreign travel.

Dispose when 5 years old.

269. Airline Ticket Files. Copies of airline tickets issued to employees of the Department traveling on official business.

Dispose when 5 years old.

270. Imprest Funds. Copies of reimbursable vouchers with supporting vouchers for taxi fare and other out of pocket expenditures made by employees on official business.

Start a new file every 5 years, retire to SHA, and dispose 1 year later.

271. Delegations of Authority. These are copies of delegations of authority to individuals to approve documents obligating funds.

Dispose when superseded by a new document.

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

Dispose when 2 years old.

#### Messenger and Mail Branch

273. Receipts for Classified Material. These are the fourth copy of receipts for security classified items handled by messengers.

Dispose when 1 year old.

274. Registered Mail File. This includes a log of mail registered and copies of Post Office registered mail receipts filed for use as follow-up on undelivered items and to prepare an annual report.

Dispose when 2 years old.

275. Insured Mail. Copies of Post Office receipts for insured mail items.

Dispose when 2 years old.

Motor Vehicle and Traffic Branches

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

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

277. U.S. Government Bills of Lading. These are the issuing office's copies with related waybills and related papers.

Retire to SHA when 2 years old and dispose when 4 years old.

278. Delivery Receipts and Invoices. These are copies of invoices received from private trucking companies at the time delivery is made with copies of related delivery receipts.

Dispose when 4 years old.

279. Partial Delivery File. Copies of requisitions, purchase orders, and other papers concerning shipments on which only partial delivery has been made.

Dispose when 4 years old.

280. Pick-up and Delivery File. Copies of purchase orders, delivery receipts, invoices, and work orders for supplies, equipment, and services delivered without a purchase order or other proper authorization.

Dispose when 4 years old.

281. Register of Deliveries. These are ledgers in which items delivered covered by a purchase order, or some other authorization, and posted showing the date received, carrier's waybill number, origin of item, consignee, room number, number of items, and with a companion volume of signed receipts.

Dispose when 10 years old.

282. Government Printing Office Notices of Shipment. These are copies of notices and confirmation of delivery of printed material signed by the consignee.

Dispose when 1 year old.

283. Supply, Equipment or Service Orders. These are copies of purchase orders for foreign and domestic transportation of things other than passengers.

Dispose when 4 years old.

284. Blanket Purchase Orders. These are the issuing office copies of blanket purchase orders to contractors for supplies and equipment.

Dispose when 4 years old.

285. Register of Purchase Order. These are books in which the name of the vendor, purchase order number, and the date of delivery are posted for each transportation.

Dispose when 4 years old.

286. Reimbursement Vouchers. Copies of reimbursement vouchers submitted to the Treasury Department for reimbursement of funds expended from imprest funds.

Dispose when 10 years old.

287. Fedstrip Order File. Copies of multiline Fedstrip requisitions for supplies and equipment ordered from Federal Supply Service.

Dispose when 2 years old.

288. Motor Pool Bills. Bills from the General Services Administration for motor vehicles regularly assigned to the Office of the Secretary.

Dispose when 2 years old.

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

Dispose when 2 years old.

Telecommunications Branch

Teletype

290. Teletype Message File. Copies of incoming and outgoing teletype messages of the Department except those of the Bureau of the Census and the National Bureau of Standards, and certain other exceptions.

~~Retire to SHA when 6 months old and~~ *Dispose when*  
~~6 months later.~~  
*2* *old.*

291. Employee Locator List. This is a machine run of the names of all Commerce Department employees arranged alphabetically showing telephone code and extension number, organization, room number and building. This list is prepared bi-monthly and is used by the telephone operators to locate individual employees. As necessary, it is supplemented by a list of additions, changes, and deletions. These are posted to the bi-monthly list.

Dispose of the lists when superseded by a new one.

292. Interdepartmental Dial Code Changes. These are changes in interdepartmental dial codes transmitted by the General Services Administration. These changes are manually posted to a list of such codes.

Dispose 3 months after posting.



## Library Division

The Library Division shall provide library services for the Office of the Secretary and operating units located in the Main Commerce Building, and serve as a reference source for libraries of operating units.

293. Administrative Subject File. Documentation of the general management of the Library including authorizations, budget, expenditures, procurement, project reports, administrative histories, and special studies. Alphabetic by subject.

- a. Project reports, administrative histories, and special studies - Permanent. Retire to SHA and transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.
- b. All other papers - Dispose when 10 years old.

294. Procurement File. Office copies of requisitions and purchase orders for publications, subscriptions, printing services, and other objects required for the Library.

Dispose when 2 years old.

295. Personnel Papers. These are copies of notification of personnel actions, time and attendance reports, and correspondence pertaining to former and present members of the staff of the Library.

Dispose when subject employee separates from Library staff.

295a. Library Circulation Records. Records pertaining to the loan of books and other materials charged out by the library.

Dispose of after item is returned and accounted for.

## Records Management Division

The Records Management Division shall be responsible for the development and issuance of policies, procedures, and other such instructions as necessary on (1) forms management; (2) files management; (3) records equipment and supplies management; (4) records disposition management; and (5) correspondence management. The Division shall also provide files, records disposition, forms management, and correspondence management services for the Office of the Secretary and, as approved by the Assistant Secretary for Administration, for designated operating units headquartered in the Main Commerce Building. The Division is also responsible for providing liaison with NARS on the clearance of all Records Schedules developed within the Department and with GSA Records Centers on the disposition and retrieval of retired records for those organizational units for which the Division has operational responsibilities.

296. Records Management Subject File. Contains copies of incoming and outgoing correspondence, relating to records management problems, methodology, techniques, and discipline in general. Also included are papers documenting certain ephemeral transactions.

Dispose when 10 years old.

297. Project File. Contains a copy of each pamphlet, report, leaflet, or other published or processed document on records management projects with supporting papers documenting the project inception, scope and procedure. Alphabetic by project title.

                     Start a new file every year, transfer to WNRC in 5-year segments. Dispose when 25 years old.

298. Disposition Files. Copies of papers on records disposition including descriptive inventory, disposal authorizations and clearances, schedules for the retirement of records, transmittals of records to Records Centers and correspondence and memorandums relating to revisions. Arranged by organizational unit.

Temporary.

~~XXXXXX~~ transfer to inactive file when superseded or obsolete to the Washington National Records Center. ~~Offer for transfer to the National Archives 20 years after transaction is completed~~ Destroy when 40 yrs old.

299. Forms Files. Contains data showing the inception and scope of the form, the program and administrative purposes served by the form, and related information. Arranged by form number.

Permanent. Transfer to inactive file when superseded or obsolete. Retire to SHA at the end of each year. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years later.

300. Administrative Subject File. Consists of office copies of documents relating to such housekeeping activities as budget, time and attendance, personnel, requisitions for supplies and services, travel, productivity, and similar housekeeping activities.

Dispose of when 2 years old.

301. 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.

302. Inventory of Forms Stocked. This is a card record showing printing history, unit price, and stock issue of forms.

Dispose of individual cards when notified by the Records Management Division that use of the form has been discontinued.

303. Printing Requisitions. Copies of printing requisitions to replenish stocks of forms.

Dispose when 1 year old.

304. Supply, Equipment, or Service Order. These are copies of purchase orders for envelopes to replenish stock.

Dispose of when 1 year old.

Deputy Director for Program Development

Program and Policy Division

The Deputy Director for Program Development shall be the Director's principal assistant for the development, coordination, and supervision of Departmentwide policies and procedures for all functional areas as assigned to OAS&P.

The Program and Policy Division shall be responsible for review and development of Departmental policy positions on internal and interagency programs involving all functional areas assigned to OAS&P. The Division shall provide knowledgeable specialists to represent the Department in interagency study groups, committees, and task groups established by OMB, GSA and other central service agencies; review and evaluate newly established or proposed Federal Procurement and/or Property Management Regulations, determine the need to develop and issue implementing Departmental policies or procedures, and evaluate their implementation. The Division shall also process procurement related actions to include: Findings and Determinations for Secretarial signature, unsolicited proposals, withdrawal of bids, ratification requests, administrative actions related to contractor's protests lodged to levels higher than the Contracting Officer, and mistake in bids; codify procurement regulations in the Federal Register and Code of Federal Regulations, codifying property management regulations in the Federal Register and issue throughout the Department as the Department of Commerce Property Management Regulations (DOC PMR), and establish the need for various training programs and other policy-making activities as assigned. The Chief, Program and Policy Division shall perform the functions of the Deputy Director for Program Development during the latter's absence.

305. Program Subject File. Documentation generated by the Deputy Director and staff including proposed and implemented program plans, evaluations on ongoing programs, recommended improvements, and data on staffing, organization, funding, and accomplishments of the programs under OAS&P. Also included are records pertaining to legislative comments, contract ratification, unsolicited proposals, and various meetings and conferences.

Start a new file every 5 years. Retire to SHA  
1 year later. Dispose of 4 years later.

306. Reports File. Consists of copies of automated reports from the Federal Procurement Data System and various other reports pertaining to procurement and property management.

Start a new file every 5 years. Retire to SHA 1 year later. Dispose of 4 years later.

307. Federal Procurement Policy (OMB) File. These are papers relating relations with the Office of Federal Procurement Policy of OMB, and to the implementation of recommendations of the former Commission on Government Procurement. Also includes papers pertaining to the former materials management program of the Department.

Retire to SHA when 5 years old. Dispose of when 10 years old.

308. Administrative Subject File. Contains copies of internal directives, procedures, productivity and other reports submitted to higher authority, along with the usual housekeeping papers such as office copies of time and attendance reports, personnel actions, travel requests and itineraries, budget information, and requisitions for services and other objects.

Dispose when 2 years old.

309. Department of Commerce Procurement Regulations. Documentation supporting the development of procurement regulations, which contain policy, procedures, and standards for current procurement operations throughout the Department, and includes papers pertaining to former Supply Management Handbook.

a. Record copy set - Permanent. Retire to SHA upon obsolescence for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.

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

310. Department of Commerce Property Management Regulations. Records pertaining to the development of property management regulations which contain policy, procedures, and standards for property management operations throughout the Department.

- a. Record copy set - Permanent. Retire to SHA upon obsolescence for transfer to WNRC. Offer for transfer to the National Archives 20 years thereafter.
- b. All other records - Dispose when 5 years old.

311. Federal Acquisition Institute File. The files consist of documents reflecting the activities of the Department representative on the interagency working group of the Federal Acquisition Institute of OMB. It consists of minutes of meetings, recommendations, various input documents from the Department, comments on proposals, and task analysis materials. Arranged by date.

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

#### Equal Opportunity and Contract Compliance Staff

The Equal Opportunity and Contract Compliance Staff shall expand and promote the Department's small business and minority business procurement programs, assure contractor compliance with equal opportunity obligations, and act as equal employment opportunity counselor for OAS&P.

312. Contract Compliance Reports and Surveys. This is documentation of compliance reviews of government construction contractors under the provisions of Executive Order 11246 to ensure equal employment opportunity of minority groups.

Start a new file every 5 years, retire to SHA 1 year later, and dispose 2 years later.

313. Small Business 8(a) Program. Documentation of the Small Business 8(a) Program which permits the Department to transfer funds to other Federal agencies to be used by that agency to award a contract to an underprivileged firm.

Start a new file every 5 years, retire to SHA  
1 year later, and dispose 4 years later.

314. Small Business Advisors File. Documentation of the Departmental Small Business Advisor efforts to set aside an optimum portion of the total procurement dollar expended by the Department for awards under the Small Business Program. Also included are copies of the annual Report on Procurement by Civilian Executive Agencies.

Start a new file every 5 years, and dispose  
2 years later.

#### Deputy Director for Procurement

The Deputy Director for Procurement shall serve as the Director's principal assistant on procurement and shall supervise the following divisions in performing procurement for all elements of the Department except as determined under the provisions of Department Administrative Order 208-2.

a. The Contract Administration Division shall administer all contracts except as otherwise assigned, through final contract payment or other required final administrative disposition including decisions under disputes clauses, terminations, claims, and shall perform such other procurement actions, as assigned.

Additionally, it shall provide field contract administration services for OMBE.

b. The Materials and Services Contracts Division shall provide contracting services for supplies, equipment, construction, communication systems, architect engineering and, other service-type procurements including delivery orders against mandatory contracts, purchase orders on the open market, and other related procurement activities, as assigned.

c. The Research and Technical Assistance Contracts Division shall provide contracting services for all research, development, and advance studies, and for all procurement providing for consulting, management, and technical assistance where the recipient thereof is either the Department or a third party beneficiary, and other related procurement activities, as assigned.

315. Procurement Subject File. Documentation accumulated by the Deputy Director in the course of his direction and control of procurement operations.

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Start a new file every 5 years and retire to SHA 1 year later. Transfer to WNRC and dispose when 10 years old.

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316. Administrative Subject File. Consists of office copies of documents pertaining to such internal house-keeping activities as budget, time and attendance, travel, requisitions for supplies and services, and similar house-keeping activities.

Dispose when 2 years old.

317. Personnel File. These are office copies of incoming and outgoing papers relating to internal personnel management of the office including notifications of personnel actions and the like on each individual employee in the office.

Dispose upon separation of employee from the office.

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

Dispose of when 3 years old.

319. Negotiated Agreements. Documentation of the negotiation of overhead rates under contracts and grants between the Federal Government and universities for a fiscal year. Since the Government is usually represented by the Department of Health, Education, and Welfare (HEW) in such agreements, these are copies forwarded to Commerce for purposes of coordination with the Office of Management and Budget (OMB) and HEW. The same procedure is followed and Commerce is forwarded copies of agreements on overhead rates that are negotiated by state and local governments and some Federal agency.

Dispose when superseded by a new agreement.

320. Small Business, Minority Business, and Labor Surplus Set-Aside Review Records. These are data prepared for review of contracting activities to reflect the perform-



ance in awarding contracts to such underprivileged businesses and in promoting the procurement of government business by such firms.

Retire to SHA at the end of year of completion or closing. Transfer to WNRC 2 year later.  
Dispose of 10 years later.

321. Bidders' Mailing List Applications. Copies of applications to be placed on the mailing list with related catalogs, brochures, and correspondence.

Dispose when subject bidder is dropped from list.

322. Bidders' Mailing List. Card list of bidders and potential bidders, solicited or unsolicited.

Dispose of card(s) when bidder fails to respond to circular request to be kept on list.

323. Contract and Purchase Order Logs. These are registers of contracts and orders awarded showing contract number, originating unit, description of item, contractor's name, date of award, dollar amount, and similar information as required.

a. Record copy of logs - Dispose of when 10 years old.

b. Division copies - Dispose of when 3 years old.

324. Cost Center Input-Output Sheets. These are records (Form SEC-701 or equivalent) relating to office reporting to the personnel productivity reporting system of the OAS&P.

Dispose of when 5 years old.

325. Billing Report. These are records (Form SEC-441 or equivalent) relating to office reporting into the personnel productivity reporting system of OAS&P.

Dispose of when 5 years old.

326. Reports Made to Small Business Adviser. These are various periodic reports on performance in making awards to underprivileged businesses, such as Minority Business Procurement Reports, Weekly Special Contracting (M, SB, LSA) Report, Quarterly Summary Report, GSA Summary Report, and similar reports on such special contracting.

Dispose of when 5 years old.

Contract Administration Division

327. Contract Case Files. These are the Departmental procurement copies of the basic documentation of negotiated and bid contracts involving the seeking and letting of contracts, and post award documentation involving monitoring and settling of contracts to close them through final payment and audit, other than ADP procurement contracts. The ADP procurement contracts are maintained by the Office of Automated Data Processing Management. Included in the post-award phase of the contract file are pertinent documents from Regional Administration Contract Officers which are sent to headquarters for inclusion in the file. Documentation for fiscal purposes is also maintained in the Financial Operations Division of the Office of the Controller.

Close cases when final payment has been made.  
Retire to SHA 1 year later. Transfer to WNRC  
1 year later.

- a. Cases created prior to July 1, 1975 - Dispose  
10 years after period covered by the account.  
<sup>3 mos</sup>
- b. Cases created after June 30, 1975 - Dispose  
6 years after period covered by the account.  
<sup>3 mos</sup>

328. Contract Management Record. This is a register of all contracts let posted by contract number and providing detailed summary information about each contract.

Retire individual registers to SHA when all contracts posted in it have been closed. Transfer to WNRC 1 year later. Dispose of register 10 years after close of last contract entered.

329. Contract Index. This is a card (5x8) index to contracts arranged alphabetically by name of contractor showing contract number, purchase order number, expiration date, and the name of the Contract Administration Officer.

Dispose of when no longer needed for current business.

330. Reports to OAS&P Director. These are reports made to the Director, OAS&P, on the overall performance of the office in its procurement operations, such as Report of Savings, Awards Report, Weekly Requisition Data Report, and similar reports on procurement operations.

Dispose of when 5 years old.

331. Contract Inventions Committee. These are the papers of the Chairman of the Committee which is responsible for consideration of patent rights to inventions developed by a contractor in connection with his contract with the Department. Arranged by date.

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

332. Weekly Report of Purchase Orders Cancelled. Copies of report listing by number all purchase orders cancelled and showing the organization of origin, number of line items, and the dollar value of each.

Dispose when 6 months old.

333. Weekly Listing of Unmatched Purchase Orders. This is a list of cancelled purchase orders for which no matching order was found in file.

Dispose when 6 months old.

334. Weekly Purchase Order In-House Lapsed Time Report. Copies of report showing for each purchase order lapsed time in-house from date of receipt until completion.

Dispose when 5 years old.

335. Semi-Annual Report of Procurement by Civilian Executive Agencies. Copies of report showing volume of business done by agencies by type of contract or type of procurement instrument with the number of line items and dollar value of each.

Dispose when 3 years old.

336. Contract Administration Subject File. The file reflects the activities of the Division in administering contracts through final payment or other required final administration disposition, including work counts, financial reports, and one-time studies.

Start a new file every 2 years. Retire to SHA and dispose 3 years later.

337. Foreign Contracts File. These are copies of contracts formerly let under previous procedures involving U.S. Embassies in foreign countries. The contents of cases are similar to those of the regular contract case files.

Dispose of when 10 years old.

338. Performance Tickler File. These are memorandum summaries of the performance expected of contractors used in contract monitoring activities of the Division; arranged by month.

Dispose when data on following month's contract performance report is accepted.

339. Interagency Quality Control and Reliability Committee. Papers of the Department's representative on the Committee which is engaged in a study of contract quality including procedures, language, inspection techniques, etc., on a commodity basis with the objective of achieving optimum standardization and quality of contract. Kept mainly for informational purposes.

Dispose of when 3 years old.

340. Monthly Field Status Reports. These are reports received from the Regional Administrative Contract Officers on the status of contracting and audit activities in the region for which each is responsible.

Dispose of when 5 years old.

Materials and Services Contracts, and Research  
and Technical Assistance Contracts Divisions

341. Materials and Services Contracts Subject File. The file reflects the activities of the Division in providing contracting services for supplies, equipment, construction, communications systems, architect engineering, and other service-type procurements including such non-contractual procurement operations as issuance of purchase orders on the open market and other related procurement activities.

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

342. Research and Technical Assistance Contracts Subject File. The file reflects the activities of the Division in providing contracting services for research, development, and advance studies, and for all procurements concerning consulting management and technical assistance under stated circumstances, including such non-contractual procurement operations as issuance of purchase orders on the open market and related procurement activities.

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

343. Purchase Orders. These are the procurement copies of purchase orders for "small purchases," arranged alphabetically by name of vendor.

Start a new file every year. Retire to SHA for transfer to WNRC. Dispose of when 6 years old.

OFFICE OF AUTOMATIC DATA  
PROCESSING MANAGEMENT

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives that the Assistant Secretary may prescribe, the Office shall provide a full range of ADP services including development of the Departmentwide ADP policy, procurement of ADP equipment and services, and operation of a central computer facility for the Office of the Secretary and designated operating units. The Office shall serve as a focal point for dealing with the Office of Management and Budget (OMB), General Services Administration (GSA), General Accounting Office (GAO), and other central control agencies on ADP matters.

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The Director of the Office shall be assisted by the following:

ADP Policy Division  
ADP Procurement Division  
ADP Analysis and Programming Division  
Computer Center

The accounting, payroll, and personnel management programs of the Office are particularly significant because of their coverage and managerial impact. These systems operated by the Office are almost fully automated. In these systems, almost all of the manual work involved is devoted to receipt of source documents, processing them for translation to machine language, and subsequent maintenance. After the necessary data has been read on magnetic tape and/or disc the necessary records are automatically printed out by a computer.

It has been determined that the printouts in the accounting operations, payroll, and personnel offices are the official record copies and they have been scheduled to meet all administrative, legal, and historical needs. Thus, magnetic tapes behind these printouts become reproducibles and they have been scheduled for erasure when they are no longer needed for this purpose.

Office of the Director

344. Automatic Data Processing Management Subject File. Contains papers relating to identification of ADP applications to increase production and efficiency, and to the development of Departmentwide policies and procedures for the procurement and utilization of ADP equipment. The file also includes records relating to studies of ADP applications and systems.

Start a new file every 5 years. Retire to SHA  
2 years later. Transfer to WNRC 3 years later.  
Dispose of when 25 years old.

ADP Policy Division

The ADP Policy Division shall develop and monitor the execution of plans, policies and procedures for management, acquisition and use of automatic data processing (ADP) resources with the the Department. It shall evaluate ADP systems requirements and proposed acquisitions of computer hardware, software and services by the units of the Department, and make appropriate recommendations to the Office Director; promote standard practices for computer facility management and operation, and coordinate the implementation of Federal Information Processing Standards within the Department; develop, implement and direct a program for computer and facility performance evaluations drawing on personnel resources from the Office of Audits and other organizations from within the Department of Commerce; provide advice and consultation to units of the Department on computer hardware and software management and acquisition; and review and refine specifications for ADP equipment, software and services procurement.

345. ADP Policy Subject File. The file consists of records pertaining to the division's activities relating to the conduct of requirements studies of proposed ADP applications, relations with General Accounting Office, GSA, and OMB con-

cerning Commerce ADP facilities, legislation, and regulations, adoption of Federal Information Processing Standards or other ADP standards, and to special projects of the division, and similar ADP related activities.

Start a new file every 5 years. Bring forward active materials. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose of when 15 years old.

346. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, travel, budget, training, requisitions for supplies, personnel, and similar housekeeping activities.

Dispose of when 2 years old.

#### ADP Procurement Division

The ADP Procurement Division shall provide contracting services for ADP equipment, software and services, and shall serve as the interface with the Automatic Data Processing and Telecommunications Service of GSA, OMB, Congress, and the GAO on ADP procurement matters.

347. ADP Procurement Subject File. Consists of records reflecting the activities of the division in providing Departmentwide contracting services for the procurement of ADP equipment, software, and services. The files reflect the procurement of such equipment, software, and services in accordance with ADP related legislation and regulations.

Start a new file every 5 years. Bring forward active materials. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose of when 15 years old.

348. Administrative Subject File. The file consists of office copies of documents relating to such internal housekeeping activities as time and attendance, travel, training, personnel, budget, requisitions for supplies and services, and similar housekeeping activities.



Dispose of when 2 years old.

349. ADP Contract Case Files. The files cover the procurement of data processing equipment, software, and services under contracts within the Department. They contain the documentation required by ADP related legislation and regulations. They represent the official Department files on the negotiation and administration of contracts for the procurement of data processing equipment, software, and services. The files include specifications prepared to insure adequate technical performance and copies of proposals prepared by contractors. Contracts typically remain in effect for the life of the particular ADP system involved. Arranged numerically by assigned contract number.

Retire to SHA at end of the year in which a contract is closed. Transfer to WNRC 1 year later.

- a. Contracts prior to July 1, 1975 - Dispose of 10 years, 3 months after period covered by the contract.
- b. Contracts after June 30, 1975 - Dispose of 6 years, 3 months after period covered by the contract.

350. ADP Purchase Order Files. These files cover the procurement of ADP equipment, software, or services under GSA schedules or for small purchases under open market procedures.

Close file upon final payment. Retire to SHA 1 year after closure. Transfer to WNRC 1 year later. Dispose of 6 years after closure.

ADP Analysis and Programming Division  
and Computer Center

The ADP Analysis and Program Division shall provide detailed design and programming of specific ADP applications.

The Computer Center shall operate a central computer facility for the Office of the Secretary and for designated operating units, or selected ADP applications of operating units.

351. Administrative Subject File. The file consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, equipment, maintenance contracts, billings to Commerce units for computer services, travel, requisitions for supplies and services, personnel, training, and similar housekeeping activities.

Break file every 2 years. Bring forward active materials as needed. Dispose of 2 years later.

352. Weekly List of Tapes. This is a list of all computer tapes generated by the Center by tape number sequence showing the date the tape was created and the designation assigned to the tape. The list is used primarily as a control of the tapes and to specify those that are authorized to be scratched and reused.

Dispose of when no longer needed for current business.

353. Tape Records.

Tapes maintained in the tape library are considered to be reproducibles, in the same sense as a printer's plate, since paper copies of the printouts produced from them have been scheduled to meet all needs for record copies of the data recorded on the tapes. The tapes listed by category below are authorized to be scratched as indicated.

(Payroll Tapes)

- a. Tape No. 1. Master Payroll - Scratch 18 months after issuance of the subject Master Payroll. See Item No. 434, etc.
- b. Tape No. 2. Bank Deposits/Fringe Benefits - Scratch when 1 year old. See Item Nos. 482, 446, 470, and 475.
- c. Tape No. 3. Bond Inscription File - Scratch 18 months after distribution of printout. See Item Nos. 447 and 448.

- d. Tape No. 4. Time and Attendance File - Scratch after 7 years.
- e. Tape No. 5. Maintenance History File - Contains data included in Master Payroll Tape No. 1. - Scratch after 3 months.
- f. Other Intermediate Tapes - Scratch when data has been written on another related tape or upon distribution and reconciliation of the related printout, whichever is appropriate.

(Accounting Tapes)

- g. Tape No. 6. Detail Batch Listing - Scratch 1 month after close of fiscal year. See Item Nos. 535, 536, and 537.
- h. Tape No. 7. Master History File Records - Multiple file tape containing data from various intermediate files listed here.
  - 1. Created prior to July 1, 1975 - Scratch after 10 years, 3 mos.
  - 2. Created after June 30, 1975 - Scratch after 6 years, 3 mos.
- i. Tape No. 8. Monthly Cost Master and Preliminary Statement.
  - 1. October thru August - Scratch when 1 year old.
  - 2. September - Scratch when 2 years old. See Item No. 481.
- j. Tape No. 9. Monthly Expense Statement - Scratch after reconciliation of statement. See Item No. 539.
- k. Tape No. 10. Intermediate - Scratch after reconciliation of related statement or list. See Item No. 542.
- l. Tape No. 11. Intermediate (Monthly Project Title) - Scratch when run is completed. See Item No. 485.

- m. Tape No. 12. Personal Services -
1. Cumulative Manhours - Scratch when 13 months old.
  2. All others - Scratch when run is completed.  
See Item No. 483.
  3. Personal Services Detail Records - Scratch  
when 13 months old.
- n. Tape No. 13. Monthly General Ledger - Scratch after  
13 months.
- o. Tape No. 14. Offsetting General Ledger Listing or  
Statement - Scratch when 13 months old. See Item  
No. 486.
- p. Tape No. 15. Detailed Cost Input Records - Includes  
data on accruals, disbursements and undelivered  
orders - Scratch after 13 months.
- q. Tape No. 16. Travel Advance Records - Includes data  
on advances for travel advance reports - Scratch  
after 13 months.
- r. Tape No. 17. Time and Attendance Cost Records - Show  
cost of personal services by project and employee -  
Scratch when 13 months old.
- s. Other Intermediate Tapes - Scratch when run is completed  
or when printout is distributed and reconciled, which-  
ever is appropriate.

#### Payroll Automation Records

354. Payroll ADP Program and System. This is a pro-  
cessed booklet showing the file description, input and  
output reports description, all codes used in the system  
and a description of all computer programs with flow  
charts.

Retire two copies when superseded to SHA, transfer  
to WNRC 2 years later and dispose when 15 years old.

355. Program Listing. This is a listing of machine language containing a copy of the source coding in the form of COBOL statements and object coding in the form of machine language.

Retire one copy when superseded to SHA, transfer to WNRC when 3 years old. Dispose when 15 years old. All other copies, dispose when superseded.

356. Program Source Coding and Object Coding Disc File. This is a disc file used for the program listing of the same title described above.

Dispose of after 3 years.

357. Time and Attendance Transactions Input Punched Cards and Records. These contain detailed data on each time and attendance transaction reported for each employee of the Office of the Secretary and the area which it serves.

Dispose 30 days after the subject Comprehensive Payroll has been distributed.

358. File Maintenance Transactions Punched Cards. These are the source cards for the input of all changes of employees' status and pay rate by name of the individual.

Dispose 30 days after data from cards have been fully processed through the payroll cycle for the pay period for which submitted.

359. Payroll System Run Book. This book contains instructions pertaining to the orderly submission of payroll runs to the computer. Also, it provides information concerning the disposition of reports and files associated with the runs.

Retire to SHA after system has been superseded or obsoleted for transfer to WNRC. Dispose of 10 years later.

Accounting, Procurement, Personnel,  
and Productivity Accounting Records

360. Accounting System Run Book. These are step by step instructions on how to operate the computer for the accounting system.

Retire to SHA after system has been obsoleted or superseded for transfer to WNRC. Dispose of 10 years later.

361. Procurement Punch Cards. These are punch cards prepared as input for the various machine runs of procurement reports.

Dispose upon reconciliation, editing, and transfer to tape or disc.

362. Productivity Accounting Punch Cards. These are cards prepared for automatic processing to produce productivity accounts.

Dispose upon reconciliation, editing, and transfer to tape or disc.

363. Personnel Management Punch Cards. Cards prepared as input for automatic production of personnel management reports.

Dispose upon reconciliation, editing, and transfer to tape or disc.

364. Source Program and Object Program Data Sets. These are maintained on discs for the production of the Program Lists.

Dispose of when superseded.

365. Program Specifications for Procurement, Productivity Accounting and Personnel Statistics Systems. These are looseleaf binders containing a description of the machine program of each of the systems.

Dispose of after systems have been superseded or obsoleted.

365a. Program Listings. This is a list of program components derived from various records

Dispose of when superseded or obsoleted.

Industry and Trade Records

366. Foreign Traders Index Files

- a. Master Disc File - Dispose of after system is superseded or obsoleted.
- b. Update Batch Punch Cards. These provide input for updating master disc file - Dispose of upon final edit and successful entry on disc.
- c. Run Book and Documentation for System - Retire to SHA after system is obsoleted or superseded for transfer to WNRC. Dispose of 10 years later.

367. American International Traders Register

- a. Master Disc File - Dispose of after system is superseded or obsoleted.
- b. Update Batch Punch Cards. These provide input for updating master disc file - Dispose of upon final edit and successful entry on disc.
- c. Run Book and Documentation for System - Retire to SHA after system is obsoleted or superseded for transfer to WNRC. Dispose of 10 years later.

## OFFICE OF AUDITS

a. Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives as the Assistant Secretary for Administration may prescribe, the Office shall conduct audits of all organizational units of the Department except as the Assistant Secretary for Administration may otherwise determine with respect to particular auditing tasks for designated organizational units. The audits may (a) encompass the operating, administrative, automatic data processing (ADP), and financial activities of units, including the administration for compliance with applicable law, economy and efficiency, and achievement of desired results, or (b) concern selected claims, costs, cost proposals, and cost and pricing data arising from contracts, grants, subsidies, loans, or other similar agreements entered into, or proposed by, Commerce organization units. The Office may also, by agreement, conduct audits for other Government organizations on a reimbursable basis, with the approval of the Assistant Secretary for Administration.

b. The Director of Audits shall be the adviser to, and serve as the representative of, the Assistant Secretary for Administration on all internal and external audit matters of the Department, and shall serve as adviser to other Departmental officials with respect to these matters. The Director shall represent the Department in conferences and negotiations with officials of other Federal agencies or other groups with respect to audit matters.

c. The Director of Audits shall be responsible for the Interagency Auditor Training Center (IATC). Subject to such policies and directives as the Director of Audits may prescribe, the Director, Interagency Auditor Training Center shall be responsible for the day-to-day management and operation of the Center.

In carrying out these responsibilities the Director shall be assisted by a Deputy Director and Administrative Officer, and the Program Planning and Review Staff, such operating audit divisions as are authorized (presently seven), and such regional and suboffices as are authorized (presently four regional and six suboffices).



368. Director's Organizational Audit Correspondence. Incoming and outgoing correspondence with Secretarial and other senior officials of the Department and of other agencies concerning the program, objectives, and workload of the Office. Also included are production reports and other data supplied to higher authority within the Department and to regulatory agencies. Arranged by organizational units.

Permanent. Start a new file every 5 years. Bring active materials forward. Retire to SHA 1 year later. Transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

369. Director's General Correspondence. Documentation generated by the Director and immediate staff in the course of planning and implementing the Department's audit program. Included are audit memorandums initiating specific audits, policy and procedural materials, audit plans, records on participation in professional organizations, and similar audit related records. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. Bring active materials forward. Retire to SHA 2 years later. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

370. Chronological File. Consists of an extra copy of documents prepared or signed in the Office, and kept by date.

Dispose of when 2 years old.

Administrative Officer

371. Office Administration File. Documentation of the budget, allocation of funds, expenditure, and the provision of space, equipment, services, and other resources required by the operation.

Start a new file at the end of each fiscal year.  
Dispose when 5 years old.

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372. Headquarters Audit Case Files. Each year an audit plan is prepared which lists and describes the audits that should be undertaken during the year. The plan is submitted to higher authority and upon approval it becomes the audit program for the period. The internal audit program of the Department has been based on a five-year cycle so that all elements of the Department that require it are expected to be audited once every five years. The provisions of the Audit Manual and audit memorandums issued by the Director govern the conduct of all audits. Depending on the situation, any or all areas of an organization may be examined and analyzed including program, planning, objectives, organization, staffing, finance, production, and costs.

In addition to internal audits, the Office is required to audit contractors, grantees, or others who have an obligation to the Department under its various programs as part of the Office's external program.

When an audit is initiated a case file is opened and the findings, analyses with supporting data, a copy of the final processed report, and copies of post-audit follow-up papers are placed in it. When follow-up is completed the case is closed. Typically, after a case is closed, prior to retirement of the files, duplicates and ephemeral working papers not documenting recommendations of findings of an audit report are removed.

Retire closed audit cases to SHA 2 years after closure. Transfer to WNRC 2 years later. Dispose of 7 years after closure.

### All Other Headquarters Staffs or Divisions

At present there are seven operating audit divisions, with each assigned responsibility for making external or internal audits of one or more agencies of the Department. Division V differs from the others in that it has Departmentwide responsibilities for financial, administrative, and ADP audits. In addition to the operating divisions, there is also a Program Planning and Review Staff for developing the audit policies, procedures, and standards issued by the Director.

With the exception of the general type of files described below, no closed audit case folders are maintained by these offices. Upon closure, audit cases are expected to be sent to the Administrative Officer, for inclusion in the central closed audit case files.

373. Operating Subject File. These are papers pertaining to the specialty of a division and the particulars of its operation such as copies of laws, regulations, orders, procedures, audit assignments, workload estimates, production reports, personnel actions, time and attendance reports, and housekeeping matters.

Dispose of individual documents and contents of file folders when they have served their purpose.

374. Organizational Support Files. These files are arranged by organizational units and contain information relating to mission, staffing, funding, organizational structure, etc. These files are kept in the audit offices as long as the subject organizational elements are under audit cognizance since they are used for many different audits within an organizational area.

Combine files of organizational units that are abolished, or transferred to another department, with appropriate final audit case file.

## Audit Regional - Suboffices

At present the Regional Offices are located in Atlanta, Chicago, Denver, and San Francisco with designated sub-offices located in New York, Philadelphia, and Boston (supporting the Atlanta office), Kansas City (supporting the Chicago office), Dallas (supporting the Denver office), and Seattle (supporting the San Francisco office). The Regional Offices shall carry out, or arrange for, site audits of documentation in support of claims, costs, cost proposals, and cost and pricing data arising from selected contracts, grants, subsidies, loans, and other similar agreements, entered into or proposed by Commerce organization units. The Regional Offices shall further carry out, or arrange for, site audits of contracts, grants or similar agreements, or proposals thereto, as requested by the Department officials and agreed to by the Director of Audits. The Regional Offices shall make any necessary arrangements with other Federal, State, and local agencies, or with any other organizations, for the performance of audits of such contracts, grants, or other agreements, on a reimbursable or other basis, and shall prescribe the scope of such audits and maintain liaison with the auditing agency or organization. The Regional Offices shall supervise all activities of the audit suboffice administratively assigned to the Region and shall assist in comprehensive (internal and external) audit programs for designated Departmental offices and operating units which are located within the geographic region. The Regional Managers may also be designated as lead regions for certain comprehensive audits of decentralized Commerce operations which would require the development of policies, procedures, standards, and audit programs for planning, executing, and reporting on segments of comprehensive audits for which each Regional Manager will be completely responsible. The Regional Offices will, as appropriate, maintain liaison with other Federal agencies and other groups on all matters pertaining to external audits; and carry out such other duties and assignments as the Director may prescribe.

Under present procedures, the closed audit case records involving audits carried out by a suboffice are expected to be forwarded to the appropriate Regional Office for

transfer to the Administrative Officer at Headquarters Offices along with closed Regional Office audit case records.

375. Audit Operations Subject Files. These are records maintained in the Regional Offices or suboffices pertaining to the particulars of the audit operations carried out by the office, such as copies of laws, regulations, orders, procedures, audit assignments, workload estimates, production reports, relations with other agencies, and similar papers relating to the activities involving the carrying out of external or internal audits.

Dispose of individual documents and contents of file folders when no longer needed for current business or when obsoleted, whichever comes sooner.

376. Organizational Support Files. These are records covering the background and functions of the various organizational units covered by audits by a regional office or suboffice to provide the needed background data to the office prior to making an audit. Arranged by organizational unit.

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

377. Administrative Subject Files. These are office copies of documents pertaining to such internal housekeeping matters as time and attendance, travel, trip reports, personnel, training, bonds, budget, procurement, space, communications and mail, and the like.

- a. Records pertaining to employment of individuals - Dispose of 6 months after separation.
- b. Imprest fund accounting records - Dispose of when 3 years old.
- c. All other records - Dispose of when 2 years old.

378. Regional Office Closed Audit Cases. These are the audit case folders representing the particular internal or external audits carried out by Regional Offices in accordance with the responsibilities assigned to the Regional Manager. Typically, after a case is closed, prior to retirement of the files, duplicates and ephemeral working papers not documenting recommendations or findings of an audit report are removed.

Ship closed cases to the Administrative Officer at Headquarters 2 years after close of a case for retirement to the Department's Staging and Holding Area. Transfer to WNRC 2 years later. Dispose of 7 years after close of case.

379. Suboffice Closed Audit Cases. These are the audit case folders representing the particular internal or external audits carried out by suboffices in accordance with responsibilities assigned by the Regional Manager. Typically, duplicates and ephemeral working papers are removed prior to shipment from the region concerned.

Ship closed cases to the appropriate Regional Office 1 year after close of case. Transfer to the Administrative Officer, Headquarters Office, 1 year later for retirement to the Department's Staging and Holding Area. Transfer to WNRC 2 years later. Dispose of 7 years after close of case.

380. Chronological File. Consist of extra copies of documents prepared in an office and maintained in date order.

Dispose of when 2 years old.

OFFICE OF BUDGET AND PROGRAM EVALUATION

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives as the Assistant Secretary for Administration may prescribe, the Office shall:

a. Have Departmentwide staff responsibility for all matters relating to development of plans, guidance and program analysis to assure consistency of resource allocation with policies of the Department, budget formulation, presentation and justification and execution, analysis and reporting of fiscal and program status, and program evaluation.

b. Establish and maintain a close working relationship with the Office of Management and Budget (OMB), the Budget and Appropriations Committees of the Congress, and other Government agencies as appropriate.

381. Director's Bureau and Office Files. These are files on each bureau and office of the Department, containing general instructions and information on the programs of the bureaus and offices relating to budget, program analysis, and other administrative areas.

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

382. Director's Chronological File. These are copies of documents prepared or signed in the Office, as well as copies of selected documents signed by the Secretary or other top officials, and maintained in date order.

Start a new file every year, retire to SHA 3 years later, and transfer to WNRC 2 years later. Dispose when 15 years old.

383. Director's Subject Files. These files contain material of a general nature on programs in which the Department is involved. Included are documents on sub-

jects such as accounting systems, audit reports, balance of payments, cost reductions, delegations of authority, export expansion program, fiscal and program plans, gifts and bequests, legislation, management information system, planning-programming-budget, regional commissions, reorganization proposals, revenue sharing, working fund, etc. Arranged alphabetically by subject topic.

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

384. Budget Preparation File. Documentation of the preparation and submission of the Department's budget for a fiscal year including guidelines for submission of the budget, Secretarial allowances, OMB hearings and allowances, appeals of OMB allowances, materials for House hearings, House allowances to the Senate, Senate hearings, and final appropriation action. Also other related materials for the particular fiscal year budget. Arranged by fiscal year.

Permanent. Start a new file every fiscal year, retire to SHA 3 years later, and transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

385. Emergency Readiness File. These are office copies of emergency plans, instructions, exercises, and relocation site papers. Most of these are security classified documents.

Dispose of individual documents or contents of file folders when superseded or obsolescent.

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

Dispose when 2 years old.



## Budget Coordination and Reports Division

The Budget Coordination and Reports Division shall:

- a. Establish standards, criteria and procedures for preparing budget estimates and justifications, including the maintenance of the Budget and Program Analysis Handbook; and the development of standards, procedures and operational instructions for resource allocation systems in the Department, such as zero-base budgeting.
- b. Coordinate budget programs and activities that require consolidated action by the Department, and coordinate the preparation of budget estimates.
- c. Interpret OMB directives on budget matters.
- d. Maintain information on the status of Congressional actions on the Department's budget.
- e. Prepare budget summaries and analyses.
- f. Maintain the Department budget history.
- g. Maintain liaison with OMB staff and with staffs of Budget and Appropriations Committees on budget matters as necessary to carry out the Division's responsibilities.
- h. Establish reporting requirements from operating units on fiscal plans and status, budget execution, and program accomplishments; and analyze, consolidate or otherwise treat the reports as will best meet the needs of the Secretary and Secretarial Officers, incorporating material furnished by the Program Staffs.
- i. Prepare special reports or briefings for the Secretary and Secretarial Officers on significant fiscal, budget and program execution problems, incorporating material furnished by the Program Staffs.

387. Commerce Activities in States. Documentation of requests from Congressmen and other dignitaries for information on the amount of money spent in a given state, and requests for information on the type and characteristics of programs and their present status.

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

388. Annual Program Plans and Monthly/Progress Reports. These are copies of initial summary fiscal plans, biennial fiscal plans, initial supplements to fiscal years, annual program plans and monthly progress status reports, monthly plans of obligations, outlays and employment; proposed outputs and other measures, and monthly summary reports and similar submissions by primary operating units.

The data in this file is used primarily to prepare the Department's monthly Report on Fiscal and Program Plans and various other reports submitted to other agencies, senior officers of the Department, and to Congress.

File by fiscal year. Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.

389. Responses to OMB Bulletins and Circulars. These are copies of OMB (BoB) bulletins and circulars with appropriate replies and/or action documents as directed by these issuances.

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

390. Coordination and Reports Subject File. Documentation containing data submitted by primary operating units for inclusion in the Secretary's annual report, briefing materials, and directives. Also included are copies of drafts of the Budget Manual, White House submissions and other papers on a variety of activities and subjects useful for budget coordination.

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

391. Budget Preview Estimates. Documentation generated in the course of the preparation of budget preview estimates submitted to the Secretary and to OMB.

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

392. Operating Budget Files. Documentation relating to the operating budget including appropriation warrants, statements of receipts, reconciliation of appropriation structure to program structure, schedules of accrued assets, and liabilities, outlays, and the like.

Retire to SHA when 3 years old and transfer to WNRC 1 year later. Dispose when 5 years old.

393. Senate Hearings. These are copies of statements prepared for Senate hearings, appeals document distribution list, lists of witnesses, hearing schedules, and fiscal data compiled on various activities and programs for Senate hearings.

Retire to SHA when 3 years old and transfer to WNRC 1 year later. Dispose when 10 years old.

394. House Hearings. Documentation prepared for House hearings on the budget with supporting papers.

Retire to SHA when 3 years old and transfer to WNRC 1 year later. Dispose when 10 years old.

395. Biographical Sketches and Statements of Witnesses. These are copies of sketches of Departmental officials scheduled to testify before a Congressional committee and a copy of his testimony.

Dispose 1 year after the subject official has separated from the Department.

396. Budget Legislative Files. Contains copies of proposed, introduced, enacted and unenacted bills with copies of related comments, recommendations, and reports.

a. Enacted Legislation - Dispose 3 years after enactment.

- b. Unenacted Legislation (not included in the Department's Legislation Program) - Dispose when 5 years old.

397. Federal Domestic Assistance Catalog Files. Documentation of data compiled, with supporting papers, for inclusion in the Catalog of Federal Domestic Assistance.

Start a new file for each issue of the Catalog.  
Dispose of 1 year after publication of the related catalog.

398. Chronological File. Consists of a copy of documents prepared or signed in the Division and maintained in date order.

Dispose of when 3 years old.

Business and Economics Programs and  
Science and Environment Programs Staffs

The Business and Economics Programs Staff and the Science and Environment Programs Staff for their respective areas of responsibility (assigned agencies of the Department) shall:

- a. Develop advance program guidance and plans for resource allocation in accordance with policy goals of the Department, and recommend new or revised policy positions which are associated with program development and budgeting.
- b. Examine and analyze all budget proposals in terms of effective allocation of Departmental resources, conformance to policies, adequacy of justification and appropriation language, existence of statutory authorization, feasibility and economy of operations, accuracy and consistency of schedules, and for conformity with instructions governing submission of budget estimates.
- c. Review zero-based decision packages for consistency with Departmental policy goals and priorities and make recommendations for changes in content and levels of resources to policy officials, including the Secretary and Under Secretary.

d. Participate in the identification of major issues and problems to be covered by special studies and evaluations.

e. Monitor, advise and assist operating units in the development and operation of systems for integrating the results of planning and programming with budgeting, including development of criteria for and review of program memoranda and special analytical studies for completeness, timeliness, adequacy, development of alternatives and factual content.

f. Review and evaluate the Department's program structure and recommend modifications as necessary.

g. Participate in the review of legislative proposals affecting the Department's plans and programs.

h. Examine and clear apportionment requests.

i. Provide technical assistance to operating units on budget matters.

j. Analyze fiscal and program plans and reprogramming proposals for continuous review of the status of obligations, expenditures and program progress.

k. Evaluate budgeting policies and programs and make recommendations to appropriate officials for improvement.

l. Provide continuous liaison and be the point of contact between officials in assigned program areas and appropriate staff of the Office of the Secretary and OMB on budget matters.

399. Budget Review Files. . Documentation of the organization staffing, budgeting, funding, program goals and performance and conformance to policies of the primary operating units of the Department. Data from this file are used to review and evaluate the prior year and current year budgets and program effectiveness of primary operating units. These files are arranged by fiscal year, thereunder by organization or subject titles.

Retire to SHA when 3 years old and transfer to WNRC 1 year later. Dispose when 6 years old.

400. Fact Sheet Files. Consist of original copies of fact sheets covering the budget of assigned agencies and related and background papers.

Retire to SHA when 4 years old. Transfer to WNRC 1 year later. Dispose of when 6 years old.

401. Chronological Files. Consists of an extra copy of documents prepared or signed by the Staffs and maintained in date order.

Dispose of when 3 years old.

### Program Evaluation Staff

The Program Evaluation Staff shall:

- a. Interpret Presidential initiatives in the areas of operational evaluation.
- b. Conduct special studies to evaluate the effectiveness of Departmental programs in meeting objectives established through legislation or other appropriate authority.
- c. Identify major program, or operational issues and problems, and undertake analyses to resolve them.
- d. Advise and assist the Director, OBPE, and the operating units in the application of program evaluation techniques and systems requirements of zero-base budgeting.
- e. Advise and assist operating units in the development and operation of systems for the identification of program objectives and for the evaluation of the results of actions taken against these objectives.

402. Program Evaluation Subject Files. These are papers reflecting the program evaluation activities of the Staff in determining the extent to which Departmental agencies are meeting objectives as stated in legislation, budgets, and the like. Included in the file are documents on audit reports, fact sheets, personnel analysis, background materials on various Department agencies to serve as aids in preparing for program evaluation studies or surveys, and similar records.

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

403. Chronological File. Consists of an extra copy of documents prepared or signed by the Staff and maintained in date order.

Dispose of when 3 years old.

404. Reports File. One copy of each reconnaissance report, study or evaluation with related authorizing and past evaluation follow-up papers, if any.

Retire to SHA when 5 years old and transfer to WNRC 5 years later. Dispose when 15 years old.

#### OFFICE OF CIVIL RIGHTS

The functions of the Office of Civil Rights relate generally to two major areas of responsibility. These are:

- a. Insuring equal employment opportunity, including affirmative action, for employees and job applicants within the Department of Commerce.
- b. Insuring nondiscrimination in activities and projects supported by Department of Commerce programs, including Title VI, nondiscrimination for the handicapped, equal employment opportunity by Federal contractors and contractors involved in Federally assisted construction contracts, and other civil rights mandates.

In carrying out these responsibilities the Director and the Office of Civil Rights shall:

- a. Develop, direct, and coordinate throughout the Department programs, policies and activities to insure the effective fulfillment by the Department and all its elements of its responsibilities in these areas.
- b. Develop program policy recommendations for the Assistant Secretary. Monitor and evaluate the implementation of approved recommendations.

c. Advise and assist the operating units in the performance of their EEO and civil rights responsibilities.

d. Develop and administer evaluation programs to determine the effectiveness of all Department operating units in the area of EEO and civil rights. Report the results of such evaluations to the Assistant Secretary and the head of the operating unit, and make recommendations for improvement including recommendations for corrective action by the Assistant Secretary as necessary.

e. Work closely with the Office of Personnel, including, as necessary, establishing coordinating procedures and policy development, to insure unified implementation of Federal and Department requirements and programs.

f. Recommend to the Assistant Secretary final decisions on EEO complaints within the Department.

g. Advise the Assistant Secretary of any violations of civil rights or EEO statutes, Executive Orders, or regulations over which the Department has jurisdiction and for which legally sufficient corrective action has not been initiated, and recommend such corrective action by the Assistant Secretary. The Director shall consult with the Office of General Counsel prior to such advice and recommendation.

h. Represent the Department and the Assistant Secretary with other Federal agencies, including the Civil Service Commission, Department of Justice, Department of Health, Education and Welfare, and Department of Labor, and with states, municipalities, labor unions, and other public and private groups on matters concerning equal employment opportunity, nondiscrimination, and civil rights.

i. Maintain liaison with, and solicit the views of, minority group and women's organizations within and outside of the Department on matters relating to civil rights and equal opportunity.

j. Develop for the Assistant Secretary statements of goals, and periodic reports of achievement against the goals, for the responsibilities of the Office of Civil Rights.



405. Director's Civil Rights Subject File. The file consists of documentation pertaining to the implementation and operation of the Civil Rights program of the Department to insure appropriate compliance within the Department and by its contractors or others under obligation to the Department. The file includes documents generated by the Director or Deputy Director relating to policies, procedures, legal matters, and other activities of the Office involving insuring equal employment opportunities for employees and job applicants of the Department or insuring nondiscrimination in activities or projects supported by the Department.

Start a new file every 3 years. Bring forward active records as required. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 25 years old.

406. Administrative Subject File. These are office copies on matters such as time and attendance, personnel actions, space, requisitions for services and other objectives, and similar housekeeping requirements. Also included are some reference materials on equal employment opportunity collected from associations, institutions, and other sources.

Dispose when 2 years old.

407. Budget and Finance. Papers relating to the preparation and presentation of the budget and financial status of the total internal and external EEO activities of the Department.

Start a new file every 2 years, retire to SHA, and dispose 3 years later.

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

Dispose of when 5 years old.

Equal Employment Opportunity Division

409. Equal Employment Opportunity Subject File. Consists of documents pertaining to the direction and coordination of the Department's equal employment opportunity program, covering such activities as the review and clearance of proposed affirmative action plans, the Federal Women's Program, the Spanish Speaking Program, the Program for the Handicapped, and the Upward Mobility Program. The file also includes documentation pertaining to the Department's Equal Employment Opportunity Committee.

Start a new file every 3 years. Bring forward active records as needed. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose of when 10 years old.

410. Special Projects File. Papers concerning such studies as are needed to be undertaken in the equal employment opportunity area to insure proportional employment of personnel from minority or other client groups of the Office.

Retire to SHA every 5 years. Transfer to WNRC 1 year later. Dispose of when 10 years old.

411. Affirmative Action Plan Files. Consists of copies of plans forwarded to the Office for review and clearance, and such consolidated plans as are required.

Destroy 5 years from date of plan, or when administrative purposes have been served, whichever is applicable.

412. Reports Files. Copies of periodic or other reports on Equal Employment Opportunity or other aspects of the program received from Department agencies or others and made to the Secretary or to other Federal agencies such as the Civil Service Commission.

Retire to SHA when 10 years old for transfer to WNRC. Dispose of when 15 years old.

Compliance Division

413. Compliance Subject File. Contains documents reflecting the Division's activities in monitoring nondiscrimination compliance in Federal programs administered by the Department and equal employment opportunity activities by Federal contractors and contractors involved in Federally-assisted construction contracts, and in administering the Department's internal discrimination complaint program. Includes correspondence with the Office of Investigations and Security and the General Counsel of the Department, as well as with outside Federal agencies such as the Civil Service Commission or the Department of Justice involved in complaints or other compliance activities.

Start a new file every 3 years. Bring forward active materials as needed. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 10 years old.

414. Complaints Files. Discrimination complaints received from within the Department or from the private sector. These files reflect complaints involving various types of discrimination in equal employment or other civil rights programs of the Office covering the Department agencies and contractors involved in Department programs under the purview of the Office.

- a. Cases that are resolved within the Department - Retire to SHA 1 year after resolution of the complaint. Dispose of 3 years later.
- b. Cases that are referred to the U.S. Civil Service Commission or adjudicated in the Courts - Retire to SHA 1 year later final settlement. Transfer to WNRC 1 year later. Dispose of 7 years after final settlement.

415. Compliance Reviews. Consists of records pertaining to reviews for nondiscrimination compliance made under the former program covering E.O. 11246 or under Title VI of the Civil Rights Act of 1964, Title IX or other contract compliance legislation or regulations. The file includes compliance reviews of EDA programs involving grants and loans such as the 10 percent MBE requirements for local public works projects.

Retire closed cases to SHA at the end of the year. Transfer to WNRC 2 years later. Dispose of 7 years after close of case.

416. Reports Files. Consists of such periodic or other reports as are required by law or regulation covering compliance with nondiscrimination in employment or other civil rights matters received from Department agencies or made to the Secretary or other Federal agencies.

Retire to SHA when 10 years old for transfer to the WNRC. Dispose of when 15 years old.

417. Special Projects File. Papers reflecting such studies as are required to insure compliance with non-discrimination legislation or regulations involving civil rights programs under the purview of the Office.

Retire to SHA every 5 years. Transfer to WNRC 1 year later. Dispose of when 10 years old.

#### OFFICE OF THE CONTROLLER

a. The Controller shall be the adviser to, and representative of, the Assistant Secretary for Administration for financial management and control matters; shall provide leadership and coordination in setting Departmental financial and grants management policy and in the resolution of financial management issues and problems of a Departmental nature; and shall serve as adviser to other Department officials with respect to these matters.

b. The Controller shall serve as Chairman of the Financial Operations and Practices Committee and shall serve as adviser to the Assistant Secretary for Administration as member of the Financial Management Committee.

c. Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives as the Assistant Secretary may prescribe, the office shall:

1. Perform, on a Departmentwide basis, financial management and financial systems management service functions, as specified; provide accounting and

related financial services to the Office of the Secretary, and, as may be designated by the Assistant Secretary for Administration, to particular operating units; and provide budgetary services for the Office of the Secretary and for assigned operating units.

2. Exercise such authorities of the Assistant Secretary for Administration as are implicit in and essential to carry out the functions assigned.

### Controller's Office

418. Controller's Subject File. The file reflects the role of the Controller as the adviser and representative of the Assistant Secretary for Administration for financial management and control matters; and in providing leadership and coordination in setting Departmental financial and grants management policy and resolving Departmental financial management issues and problems. It includes such subjects as ADP Support Management, Anti-Deficiency Act, Budget, Federal Aid Reform, Freedom of Information, Legislation, Metric Policy, Minority Banks and Businesses, Privacy Act, Statistical Sampling, and Urban Program, as well as headings for various constituent agencies of the Department. It also contains information on various Departmental financial committees such as the Financial Operations and Practices Committee, and reflects operations of his immediate staff, such as the Operations Analysis Staff.

Permanent. Break file every 5 years. Bring forward active materials as needed. Retire to SHA 5 years later. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

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

Dispose of when 5 years old.

## Finance Operations Division

The Finance Operations Division shall implement financial and accounting policies designated by the Controller with the advice of the Chief Accountant; provide accounting, payrolling, and related services for the Office of the Secretary, Regional Action Planning Commissions, and assigned operating units; be responsible for the consolidated billings of the Department, for preparation of consolidated accounting statements required of the Department, and for the Office's staff responsibility for Departmentwide policies and procedures on official travel; and provide accounting guidance and control for the Working Capital Fund of the Office of the Secretary, which responsibility shall consist of proposing accounting policies on operating the Fund, prescribing rules and procedures on use on the Fund, giving accounting management instructions to heads of Departmental offices responsible for services being financed through the Fund, and taking other actions as may be required to maintain liquidity of the Fund.

420. Division Chief's Accounting Subject File. The file reflects the activities of the Division Chief and immediate staff in directing and supervising the overall operation of the Finance Operations Division to provide accounting, payrolling, and related services for the Office of the Secretary, Regional Action Planning Commissions, and assigned operating units, as well as controlling the Working Capital Fund of the Office of the Secretary, and related accounting activities.

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

### Payroll Section

421. Individual Accounts Files. The files consist of such documents reflecting the status of individual employee's accounts as individual earnings and service cards of employees, individual retirement records of separated employees, and related documentation affecting the earnings or pay of individual employees.

Retire closed files to SHA at end of every 2 years. Transfer to National Personnel Records Center 2 years later. Dispose of 56 years after the last entry involving the employee.

422. Authorization for Paid Overtime and/or Holiday Work and for Compensatory Overtime. This is a record of overtime authorized for purposes of pay. These are batched by pay period.

Retire batches for the fiscal year to SHA 3 months after the close of the year. Dispose 1 year after GAO audit or when 3 years old, whichever is sooner.

423. Applications for Leave. Application of all types of leave signed and submitted by the employee. These are batched by pay period.

Retire batches for the fiscal year to SHA 3 months after close of the year. Dispose 1 year after GAO audit or when 3 years old, whichever is sooner.

424. Voucher and Schedule of Payments. These are work copies of voucher and schedule of payments disbursed by the Treasurer. The fiscal copy is maintained by the appropriate accounting branch. These work copies are kept for convenience of checking errors, and as a record of payments authorized.

Retire to SHA when 3 years old and dispose when 5 years old.

425. State Tax File. These are papers authorizing and supporting the payroll deductions of taxes to be paid to the states.

Dispose of individual documents when superseded.

426. Register of Separations and Transfers. This is a listing of separated employees having retirement benefits showing total retirement deductions. The list is submitted to the Civil Service Commission.

Retire to SHA when 10 years old. Dispose when 35 years old.

427. Reports of Withholdings and Contributions. The report is submitted to the Civil Service Commission and lists withholdings.

Retire to SHA when 10 years old. Dispose when 25 years old.

428. Individual Retirement Record. This is a record of the service, pay, and summary of retirement deductions for each employee.

Make a copy for the Individual Accounts File (Item 421) and forward to Civil Service Commission when employee is separated or retired.

429. Clearance of Employee Accountability. This is the fiscal copy of a clearance, prior to separation, showing that the subject employee is not indebted to the Government and has satisfactorily accounted for all Government property charged to him.

Dispose when 1 year old.

430. Manual Payroll Computations. These are manually prepared spreadsheets showing computation of payments not mechanically computed due to the need for adjustments to prior periods, late receipt of input data, or special computational problems.

Retire to SHA when 2 years old.  
Dispose when 4 years old.

431. Comprehensive Payroll Workpapers. These are copies of vouchers and schedules of payment with the matching part of a machine run and worksheets made in preparing schedules of payment.

Dispose 2 years after completion of transaction.

432. Health Benefits Program Carriers File. Consists of a folder(s) for each carrier (insurance company) underwriting the various health insurance plans in which employees are participating. Included are transmittals and summary reports to each carrier showing the number and status of employees covered with related papers. Close carrier's file upon termination of participation in the program.



Retire closed files to SHA at the end of every 5 years. Dispose 10 years after carrier's termination.

433. Time, Cost and Attendance Reports. These are the fiscal copies of time, cost and attendance reports showing all types of leave authorized, accumulated, earned, taken, and appropriate totals.

- a. Final report showing accumulated leave on separation - File in employee's Individual Account File.
- b. All others - Retire to SHA when 2 years old. Dispose when 6 years old.

(Printouts of Payroll Reports)

Reports produced by the computer are brought together under this subheading to distinguish them from manually prepared records in the system, and for the convenience of the user of this schedule. The title and number of the magnetic tape(s) used to produce each report is parenthetically noted below the retention period for each item. For the retention periods of the tapes see Item No. 353.

434. Bi-weekly Comprehensive Payroll. This shows gross to net pay, deductions and number of hours worked arranged alphabetically by bureau, and thereunder by cost stations. Also included are supporting listings summarizing deductions for union dues, Group Life Insurance, Optional Life Insurance, Group Health Insurance, charity deductions, and bank allotments.

Retire to SHA when 2 years old and transfer to WNRC 2 years later. Dispose when 12 years old.

(Master Payroll Tape No. 1)

435. Bi-weekly Updated Master Payroll. This is a listing of employees showing current per annum pay rate, deductions, hourly or daily pay rate, bank deposits, change listings and pay conversions. The report is primarily used to update the Bi-weekly Comprehensive Payroll.

Retire to SHA when 1 year old. Dispose when 2 years old.

(Master Payroll Tape No. 1)

436. Bi-weekly Unmatched Pay Listings. These are listings of entries rejected by the computer because of incomplete or conflicting data, or no time and attendance report for employee on the payroll master, or no payroll master record for an employee with a time and attendance report.

Dispose when superseded by a new listing.

(Payroll Audit Tape No. 4)

437. Treasury Check Issue Listing. This is a listing of net checks issued for each employee including composite checks, savings allotment checks, and checks to agencies and organizations for which deductions have withheld.

Retire to SHA when 2 years old. Dispose when 6 years old.

(Master Payroll Tape No. 1)

437a. Bi-weekly Hours Control Listing. These listings show Social Security number, number of hours worked, and bureau code of each employee. The listing is used to verify the number of regular hours worked, and the hours of overtime worked for update input to the Bi-weekly Comprehensive Payroll.

Dispose when verification and computer input have been completed.

(Payroll Audit Tape No. 4)

438. Bi-weekly Cost Master Employee Listings. This is a listing of employees showing bureau and organization codes. The list is in two parts: the first is arranged alphabetically by name of employee, and; the second is arranged numerically by Social Security numbers of employees. These listings are used to get the bureau and organization of a given employee, or to check print-outs where there is reason to believe that an employee has been inadvertently left out for some reason.

Dispose when a new listing is received.

(Master Payroll Tape No. 1)

439. Bi-weekly Separations Leave Balance Report. This shows final leave balances of employees on separation.

Retire to SHA at the end of every fiscal year, and transfer to WNRC 1 year later. Dispose when 4 years old.

(Master Payroll Tape No. 1)

440. Bi-weekly Listing of Employees Not Paid. This list is produced by a comparison of the Cost Master Employee Listing with the Bi-weekly Comprehensive Payroll performed by the computer to show employees that are not included on the latter.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

441. Leave Error Listing. This shows discrepancies between timekeepers' totals for all types of leave as recorded on the current time and attendance reports and the figures maintained in the computer for purposes of correcting machine balances.

Dispose when 3 months old.

(Master Payroll Tape No. 1)

442. Annual Cumulative Earning Listings. This is a list of the total earnings, from gross to net, for each employee in all categories. These are used for final posting to Individual Retirement Record.

Retire to SHA when 1 year old. Dispose when 2 years old.

(Master Payroll Tape No. 1)

443. Bi-weekly and Quarterly Cumulative Earning Listings. This is a list of total earnings, from gross to net, for each employee in all categories. These are posting media to the Individual Retirement Record.

Dispose upon receipt of the annual listing.

(Master Payroll Tape No. 1)

444. Annual Individual Earnings Records. This shows cumulatively all changes in pay status, gross to net, for each employee, in all categories, for each of the twenty-six pay periods during the year.

Retire to SHA when 4 years old and transfer to the National Personnel Records Center, St. Louis, Mo., when 5 years old. Dispose 56 years after date of last entry.

(Master Payroll Tape No. 1)

445. Annual Listing of Employee Addresses. This is a listing used to verify or enter the employee's home address for Wage and Tax Statements (W-2).

Dispose 3 months after the Wage and Tax Statement (W-2) have been sent to employees.

(Master Payroll Tape No. 1)

446. Bi-weekly Bond Issued Listing. Shows bureau code, name of owner, deduction, and the number of the bonds issued to each employee for the pay period.

Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose 1 year after audit.

(Bank Deposit-Fringe Benefits Tape No. 2)

447. Bond Master Listing. This is the same as item above, except the amount of the deduction, and except the names of all employees authorizing the purchase of bonds are listed whether or not they are issued a bond for the pay period.

Dispose when a new master listing is received.

(Bond Inscription Tape No. 3)

448. Bond Inscription Change Listing. Shows changes of name, address, denomination, co-owner or beneficiary on bonds. It is used to update the Bond Master Listing

Dispose when 1 year old.

449. Bi-weekly Unapplied Bond Balance Listing. Shows bureau code, name of employee, denomination of bond, amount of deduction, and balance.

Retire to SHA when 2 years and transfer to WNRC 1 month later. Dispose when 4 years old.

(Master Payroll Tape No. 1)

450. Paymaster Change Listings. These show the bi-weekly changes to the Master Payroll Tape No. 1.

Dispose after verification of changes on the Master Payroll printout.

451. Bi-weekly Separated Employees Cumulative Earnings Report. This shows total, gross to net, earnings of separated employees.

Dispose upon receipt of the annual summary of the report.

(Master Payroll Tape No. 1)

452. Annual End of Year Leave Balance Report. This shows balances of leave brought forward by individual employees.

Retire to SHA when 1 year old. Dispose when 2 years old.

(Master Payroll Tape No. 1)

### Travel Section

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

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

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

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

- a. Records created prior to July 1, 1975 -  
Dispose when 10 years old.
- b. Records created after June 30, 1975 -  
Dispose when 6 years old.

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### Receipts and Distribution Section

455. Cash Receipts Log. Contains entries recording the receipt and deposit of all cash received in the Office of the Secretary, ITA, USTS, OMBE, and Working Capital Fund from various sources. Such cash is deposited in Treasury Department.

Dispose of when 3 years old.

### Systems and Procedures Branch

456. Project Papers. These are papers generated during the conduct of a project assignment that resulted in an authoritative directive or instruction. Close the case when the issuance or final report is issued.

Retire closed cases to SHA at the end of every 2 years and transfer to WNRC at the end of every 5 years. Dispose when 10 years old.

457. Accounting Systems and Procedures File. Documentation of operating accounting instructions for General Ledgers, Working Capital Funds, administrative memorandums, receipts and distribution, voucher examination, payroll, data processing (payroll and general accounting), and cost accounting. Also included are related incoming and outgoing correspondence, reports, and workpapers.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 15 years old.

458. Operations Subject File. Documentation generated by the Branch Chief concerning direction of the Branch and the planning and implementation necessary to achieve established goals.

Start a new file every 3 years and dispose of the old file when 8 years old.

459. Travel Request Control. This consists of a control of Travel Requests (TRs) issued and on outstanding TRs held by primary operating units. Used TR book stubs are returned and held for accountability.

Dispose of TR stubs when the book is accounted for.

460. Economic Opportunity-Federal Outlays by Geographic Location. Documentation showing the total dollar outlays of the Department by geographic location.

Start a new file every 2 years and dispose of old file when 4 years old.

461. Bonded Employees and Certifying Officers File. Lists submitted by all primary operating units showing the number of bonded employees by position title and the aggregate dollar amount of bonds on the positions listed. Also included are copies of the Positions Bonded report, required by the Treasury, showing the types of bonds and administrative costs involved, and copies of contracts with surety insurance companies.

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

462. Foreign Fiscal Files. There is the sole individual accounting file for each employee employed in foreign countries and paid by American Embassy disbursing officers. The folders contain individual pay cards, withholding tax forms (W-2), personnel actions, record of leave transferred, and the like. Close the folder when the subject employee is separated.

Retire closed files to SHA at the end of every fiscal year and transfer to the National Personnel Records Center, St. Louis, Mos. 2 years later. Dispose 56 years after date of last entry.

463. Embassy Disbursing Officers Financial Reports. These comprise an annual reconciliation of payroll deductions and general pay increase information.

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

464. Regional Commissions Comprehensive Payroll. This is a computer prepared comprehensive payroll of the employees of the Regional Commissions showing name of employee, deductions, and net pay with a subtotal for each cost center. These employees are included in the printout of the regular Bi-weekly Comprehensive Payroll.

Retire to SHA when annual reconciliation of UBLIC reports is accomplished. Transfer to WNRC 2 years later. Dispose when 25 years old.

465. Bi-weekly Updated Master Payroll. This is a duplicate printout of the record copy (Item No. 435) retained in the Payroll Section. It is used as a workpaper to reconcile payroll conversion in the Bi-weekly Updated Master Payroll.

Dispose when reconciliation is completed.

466. Annual Manpower and Personal Service Cost. This is a report required by the Office of Management and Budget, Circular No. A-93, showing the number of regular and premium manyears worked, salaries paid, total cost of benefits and severence pay, cost by pay system (Statutory administrative, and agency total), and leave used.

Dispose when 2 years old.

467. Monthly Report of Federal Civilian Employment (Short form). Shows distribution of salaries by states, territories, and foreign countries.

Dispose when 1 year old.

468. Payroll Report of Federal Civilian Employment. Shows a breakout of employment for each payroll office in the District of Columbia, and environs, including for each number of employees served and the total wages paid.



Dispose when 1 year old.

469. United Benefit Life Insurance File. Copies of reports showing the names of employees, the total amount deducted and other data pertaining to the Group Life Insurance program. These reports are submitted to insurance underwriters.

Dispose when 2 years old.

470. Annual Geographic Distribution of Payrolls. This shows the total salaries earned by employees apportioned to each state.

Dispose when 3 years old.

471. Federal Tax File. Contains reports of taxes withheld, from employees' salaries, submitted to Internal Revenue Service.

Dispose when 6 years old.

472. State Tax and Employment Reports. These are retained copies of reports of taxes withheld and quarterly unemployment reports submitted to the states.

Dispose when 3 years old.

473. State Tax Data File. Contains state tax laws, withholding tables, and sample copies of returns.

Dispose when superseded or when they have served their purpose.

474. Quarterly State Tax Report. Shows state taxes withheld from employees' salaries (See Item No. 425).

Dispose when 6 years old.

(Bank Deposit-Fringe Benefit Tape No. 2)

475. Quarterly Report (taxes) By State. Shows Federal and state taxes withheld and the gross amount taxed with a recapitulation giving a breakout by bureau.

Dispose when 1 year old.

(Bank Deposit-Fringe Benefit Tape No. 2)

476. Annual Listing of Employees with Taxable Wages. This is a listing of the names, Social Security numbers, and the amount of the taxable wages of employees submitted to the Internal Revenue Service.

Retire to SHA when 1 year old. Dispose when 6 years old.

(Master Payroll Tape No. 1)

477. Quarterly Report of Wages Taxable under the Federal Insurance Contributions Act. This is a continuation sheet of the report titled as above which shows the names of employees, Social Security number, and the amount of taxable FICA wages. The report is submitted to the Internal Revenue Service.

Retire to SHA when 1 year old and transfer to WNRC when 3 years old. Dispose when 6 years old.

(Master Payroll Tape No. 1)

478. Bi-weekly Sick Leave Balance Report. This shows a balance of sick leave accumulated in increments of 500 hours to ascertain when employees reach prescribed levels of accumulated sick leave that are given special recognition. The first copy of the report is sent to the Office of Personnel.

Dispose when a new issue is received.

(Master Payroll Tape No. 1)

479. Quarterly Sick Leave Usage Report. This is a detailed report of sick leave used by employees of the Office of the Secretary and the units which it serves.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

480. Quarterly Sick Leave Usage Report-Industry and Trade Administration (ITA). This is a detailed report of sick leave used by employees of ITA by bureau, thereunder by cost center.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

481. Preliminary FICA Report. Alphabetical list of employees by bureau, showing Social Security number, amount of taxable wages, and amount of FICA taxes deducted.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

482. Bi-weekly/Quarterly Saving Bond Reports. This is a listing by bureau which shows total number of employees in bureau, total number of employees taking bond deductions, percentage of total employees taking bond deductions, and the total dollar value of deductions for the period.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

483. Annual Geographic Distribution of Payrolls. Lists the gross salaries earned by employees working in the District of Columbia, and in environs, by the state of residence, and the gross salaries paid employees broken down by state of residence.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

484. Quarterly Unemployment Report. Shows Federal and state taxes withheld, gross salary taxed, and the number of employees paid for the pay period on which the 12th day of the month occurs in each of the three months of the quarter.

Dispose when 1 year old.

(Master Payroll Tape No. 1)

## Accounting Operations Branches

With the exception of the Regional Commissions Accounting Operations Branch, the other Accounting Operations Branches create records of the same kind and content. Thus, the accounting operations records unique to Regional Commissions are separately described, and those common to it and the other branches are lumped under the subheading "Other Branches," to avoid needless repetition. The retention periods prescribed for files described thereunder apply wherever they are found in an Accounting Operations Branch.

### Regional Commissions Accounting Operations Branch

Only the records of these Branches that are not created by any other branch are shown here. For its files that are common to others, see Other Branches below.

485. General Ledger Accounts. These are manually prepared accounts that show the disposition of all funds available and the current status of such funds.

Retire to SHA when 5 years old and transfer to WNRC 2 years later. Dispose when 15 years old.

486. Allotment Ledgers. These show the amount of funds allotted by appropriation, project, and cost center, and the current status of such funds.

Retire to SHA when 5 years old and transfer to WNRC 2 years later. Dispose when 15 years old.

487. Accrual Blanket. This is a compilation of fiscal data to be posted in the General Ledger Accounts.

Dispose when 1 year old.

488. Monthly Status of Obligations and Financial Reports. These show total allotment through the period, obligations incurred and the unobligated balance of end of the period. Included are the Federal Grants-in-Aid to non-Federal Commissions and to other Government agencies.

Retire to SHA when 5 years old and transfer to WNRC 2 years later. Dispose when 15 years old.

489.

RESERVED

Working Capital Fund Accounting Branch

All of the records described below document transactions paid for out of the Working Capital Fund for the Office of the Secretary, and the area which it services, and the reimbursement of the Fund by these units for the services or materials which they received.

490. WCF Purchase Orders. These are copies of the obligating and undelivered copies of purchase orders including blanket purchase orders which are used, as needed, by any of the primary operating units served. The No. 3 copy is the obligating document which is held in a pending file until the No. 4 receiving copy is returned from the primary operating unit with the vendor's invoice. At this point, they are combined and placed in the accounts payable file. When the vendor is paid the documents are withdrawn and placed in the accounts paid file and the transaction is closed.

Blanket purchase orders are held in a pending status until the authority for them is terminated.

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

a. Records created before July 1, 1975 -  
Dispose of when 10 years old.

*3 months*

- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
^ 3mos

491. WCF Contract File. These are copies of negotiated competitive and open contracts let by the Office of the Secretary and the units which it serves. When performance under the contract has been completed, and final payment has been made, the case is closed and placed in a separate file.

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

- a. Records created before July 1, 1975 -  
Dispose of when 10 years old.  
^ 3mos
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
^ 3mos

492. WCF Travel File. Copies of travel vouchers and carriers' copy of transportation request with supporting invoices and travel orders.

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

- a. Records created before July 1, 1975 -  
Dispose of when 10 years old.  
^ 3mos
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
^ 3mos

493. WCF Telephone Bills and Payment File. These are copies of bills for telephone equipment, service and long distance calls with payment authorizations. Also included are vouchers and schedules of payment and a few vouchers of collection for non-government agencies served by the Department.

Retire closed files to SHA at the end of every 2 years and transfer to WNRC 1 year later.

- a. Records created before July 1, 1975 -  
Dispose of when 10 years old.  
^ 3mos

- b. Records created after June 30, 1970 -  
Dispose of when 6 years old.  
*^ 3 mos*

494. WCF Voucher and Schedule of Withdrawals and Credits.  
These are bills to customers organizations for services and things paid for from the WCF, and the payments made by such units to replenish the WCF.

Start a new file every 2 years, retire to SHA, and transfer to WNRC 1 year later.

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*

495. Public Voucher for Transportation of Passengers.  
These are copies of consolidated bills for transportation of passengers received from public carriers' to be paid for from WCF and regularly appropriated funds.

Start a new file every 5 years and retire to SHA, and dispose when 6 years old.

496. WCF Cash Deposits. These are bills, transmittals of payment, schedules of collection, and certificates of deposit to the credit of the WCF in the Treasury.

Start a new file every 2 years, retire to SHA and transfer to WNRC 1 year later.

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*

497. General Services Administration Invoices. Copies of bills from GSA for rental, supplies, services, and other things with vouchers to the chargeable primary operating unit and the related voucher and schedule of withdrawals and credits authorizing payment.

Start a new file every 2 years, retire to SHA, and transfer to WNRC 1 year later.

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*

498. WCF Treasury Statements. These are schedules of collection and disbursements, vouchers and schedules of withdrawals and credits and schedules of payments showing withdrawals from the Treasury by the Department with copies of related bills.

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

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*

499. WCF Financial Status Subject File. Documentation of the budget, operating instructions, reports, billings, fixed assets, acquisitions, depreciation, and other data pertaining to the condition and operation of the Working Capital Fund.

Start a new file every 2 years, retire to SHA, and transfer to WNRC 1 year later. Dispose when 6 years old.

500. Fedstrip Multiline Requisitions. These are copies of requisitions, purchase orders, GSA bills, and transaction records showing the amount of funds obligated to cover supplies and equipment from GSA.

Retire to SHA at the end of every 2 years and transfer to WNRC 1 year later.

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*



501. WCF Voucher and Schedule of Withdrawals and Credits.  
One copy of each voucher paid to the WCF.

Retire to SHA at the end of every 2 years  
and transfer to WNRC 1 year later.

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*^ 3 mos*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*^ 3 mos*

502. Statements of Printing Services. These are copies of statements giving a detailed breakdown of printing services performed for primary operating units and the total charge of each of such units with supporting documents including printing requisitions.

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

503. Departmental Forms Store Sales Slips. These are copies of sales slips for forms purchased by operating units and charged to the WCF.

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

504. WCF Accounting Coding Documents. These are copies of batch controls of source documents processed for key punching prior to computer input.

Retire to SHA at the end of every 2 years  
and dispose 1 year later.

Other Branches  
(Manual Records)

505. Treasury Warrants. These constitute formal notification from the Treasurer of the United States that the amount shown has been credited in the Treasury Department accounts to the recipient agency.

Dispose when 3 years old.

506. Allotment Advice. These are statements of the funds allotted to each program by appropriation number.

Dispose when 3 years old.

507. Apportionment and Reapportionment Schedules. These are reports to the Office of Management and Budget showing the amount of appropriated funds apportioned for obligation for each quarter and the OMB action on such apportionments.

Dispose when 3 years old.

508. Budget Authorizations. These show the appropriation number, project symbol, cost center code, amount previously authorized, and the adjusted amount authorized to the date of report.

Dispose when 3 years old.

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

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

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old. <sup>13 MOS</sup>
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old. <sup>3 MOS</sup>

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

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

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

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

512. Cost Copies of Time and Attendance Reports. These documents provide original input to the system for personal services costs at the bureau, cost center and project level. They also detail costs for regular, night differential, and overtime hours.

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

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

Retire to SHA at the end of every year, transfer to WNRC 2 years later. Dispose when 6 years old.

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

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

515. Public Voucher for Transportation of Passengers and Things. These are carriers' copies of vouchers for transportation of passengers and things.

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

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

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

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

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

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

Dispose when 1 year old.

519. Statement of Transactions (SF-244). These are copies of reports submitted to the Treasury showing a classification of disbursements and collection by appropriation, fund and receipt amount.

Retire closed files to SHA at the end of every year and transfer to WNRC 3 years later.

a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.

b. Records created after June 30, 1975 -  
Dispose of when 6 years old.

520. Journal Vouchers (manually prepared). These contain transaction entries supporting a portion of the monthly General Ledger Accounts entries.

Retire to SHA at the end of every year. Dispose when 6 years old.

521. Accounts Receivable File. Contains copies of billing authorizations from primary operating units and other Government agencies with supporting billing documentation.

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

a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.

- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*3 yrs*

522. Report on Budget Execution. This report prepared for submission to the Office of Management and Budget shows total obligations, unobligated balance, and total funds available for each month.

Retire to SHA when 10 years old and transfer to WNRC 1 year later. Dispose when 15 years old.

523. Annual Statement of Unexpended Balances of Appropriations. This shows Treasury trial balance, transfers and withdrawals, funds resources, and status of resources submitted to the Treasury.

Retire to SHA when 10 years old and transfer to WNRC 1 year later. Dispose when 15 years old.

524. Validated File. File consists of documentation used by the Treasury Department to support issuance of checks, transfer of funds, and to record receipts for the applicable agency station. Treasury will return the original documentation with the date that they took the necessary action citing on the document with other pertinent data to the appropriate Accounting Operation Branch.

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

- a. Records created prior to July 1, 1975 -  
Dispose of when 10 years old.  
*3 yrs*
- b. Records created after June 30, 1975 -  
Dispose of when 6 years old.  
*3 yrs*

525. Monthly Report of Obligations. Copies of a report submitted to Treasury showing gross obligations by object classes rounded to the nearest thousand dollars.

Dispose when 3 years old.

526. Monthly Report of Selected Balances for Stating Budget Results on the Accrual Basis-Appropriation and Fund Accounts and General, Special and Trust Fund Receipt

Accounts. Copies of report showing expenditures, accounts receivable, advance and prepayments, accounts payable, unearned revenue, and appropriate subtotals and balances.

Dispose when 3 years old.

527. Annual Statement of Financial Condition. Copies of statements submitted to Treasury showing assets, liabilities, and net investment.

Dispose when 3 years old.

528. Annual Statement of Income and Expenses and Changes in Accumulated Net Income in Deficit. Shows income and expense and changes in accumulated net income in terms of dollar balances.

Dispose when 3 years old.

529. Statement of Foreign Transactions File. This file contains papers establishing accountability of funds disbursed by Embassies including copies of listings of the type of transactions showing appropriation, and dollar values by collections and disbursements. Also included are copies of machine run listings of disbursement vouchers, purchase orders, reimbursement vouchers, and vouchers and schedules to effect correction of errors, and similar supporting papers.

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

530. Foreign Accounts General Correspondence. Incoming and outgoing correspondence pertaining to specific fiscal transactions and general requirements.

Start a new file every 5 years. Dispose when 6 years old.

531. Foreign Travel Advance Request Control. Card file showing the date, place, voucher number, amount advanced, amount repaid, and a reference to the location of supporting vouchers, etc., in the Statement of Foreign Transactions File. File cards for closed accounts are kept separately.

Retire closed accounts cards to SHA at the end of every 2 years. Dispose when 6 years old.

532. Individual Pay Earning Cards for Employees in Foreign Countries. These cards are not the original pay earning cards, but made up for use in the office only. The original remains at the Embassy.

Dispose when 3 years old.

533. Foreign Accounting Coding Documents. These documents contain data transcribed from source documents for computer input.

Dispose when 1 year old.

(Printouts)

534. Batch Proof Listings. These are comprised of:

- Fail Edit Listings - Personal Services
- Fail Edit Listings - Other Objects
- JV Proof Listings - Manual Journal Vouchers

These are intermediate computer runs that are produced as part of the make ready for preparation of the Detail Batch Listings. They are used to check the data stored in the computer and the accuracy of keypunch and machine operations. The nature and extent of these intermediate runs may vary from time to time depending on changes in the system and the demands on it.

Dispose when no longer needed for current business.

(Intermediate Tape No. 11, see Item 353)

535. Undelivered Orders-Monthly Detail Batch Listings. These include the following:

- Month End Obligations - Batch No. 084
- Month End Obligations in Document Number Order -  
Batch No. 084
- Reversal of Prior Month's Obligation - Batch No. 083

These listings are the books of original entry showing the complete accounting classification (bureau, appropriation, project, cost center, cost category, subobject class, and subcost category). They also show document and batch numbers. The Formal Cost Statements with the detailed data arranged in various sequences are automatically prepared from these listings except that the document and batch numbers are dropped.

Retire to SHA at the end of every quarter and dispose 1 year later.

(Detail Batch Listing Tape No. 6, see Item 353)

536. Accruals-Monthly Detail Batch Listing. These listings include the following:

Refunds, Corrections and Miscellaneous Transportation  
Accruals - Batch No. 025  
Refunds, Corrections and Miscellaneous Other Objects -  
Batch No. 026  
Corrections/Personal Services - Batch No. 033  
Personal Services - Batch No. 034  
Corrections/Personal Services - Batch No. 035  
Personal Services - Batch No. 038  
Corrections/Personal Services - Batch No. 039  
Personal Services - Batch No. 042  
Corrections/Personal Services - Batch No. 043  
Accruals/Foreign - Batch No. 056  
Leave Applications - Batch No. 058  
Employee Benefits Application - Batch No. 059  
Fringe Benefits Accruals - Batch No. 063  
Fringe Benefits Accruals/Month-end Estimates - Batch No. 064  
Reversal of Fringe Benefits Accruals/Month-end  
Estimates - Batch No. 065  
End Accruals - Batch No. 085  
Reversal Prior Month end Accruals - Batch No. 086  
Cost Transferred In - Batch No. 093  
Accounts Payable/Other Objects - Batch Nos. 101-131  
Adjustments Manual/Other Objects - Batch No. 300  
Accounts Payable Adjustments/Mechanical -  
Batch Nos. 301-331  
Accounts Payable/Transportation - Batch Nos. 401-431  
Adjustments Manual/Transportation - Batch No. 600  
Adjustments Mechanical - Batch Nos. 601-631



These listings are the books of original entry showing the complete accounting classification (bureau, appropriation, project, cost center, cost category, subobject class, and subcost category). The Formal Cost Statements with the detailed data arranged in various sequences are automatically prepared from these listings except that the document and batch numbers are dropped.

Retire to SHA at the end of every quarter and dispose 1 year later.

(Detail Batch List Tape No. 6 and Batch List Tape No. 7, see Item 353)

537. Disbursements Monthly Detail Batch Listings. These include the following:

Disbursements/Foreign - Batch No. 057  
Personal Services Disbursements - Batch Nos. 070-074  
Accounts Payable/Disbursements/Other Objects -  
Batch Nos. 201-231  
Accounts Payable/Disbursements/Transportation -  
Batch Nos. 501-531

These listings are the book of original entry showing needed detail (bureau, appropriation, and cost category). Also shown are the document, schedule, and batch numbers. The entries in these listings are not included in the Formal Cost Statements. These listings are primarily used for purposes of reconciliation and for establishing an audit trail.

Retire to SHA at the end of every quarter and dispose 1 year later.

(Detail Batch Listing Tape No. 6, see Item 353)

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

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

(Monthly Preliminary Cost Statement Tape No. 8, see Item 353)

539. Formal Cost Statements. These are cost statements numbers 37, 31, 32, 33, 38, (4 ITA), 5, 6, 13, (39 ITA), 21, 35, 34, 36, or equivalent thereof. These contain essentially the same information as the Preliminary Cost Statements. They are prepared for distribution to the operating units served, with the sequence of entries arranged in the manner requested by the client unit.

- a. Statements numbers 37, 31, 32, 33, and 38, (4 ITA), or equivalent - Retire to SHA at the end of every year. Transfer to WNRC 1 year later. Dispose of when 11 years old.
- b. All other statements - Dispose of when superseded by a new issue.

(Monthly Expense Statement Tape No. 9, see Item 353)

540. Personal Services Listings. These include the following:

- Bi-weekly Personal Services by Cost Center and Project
- Bi-weekly Personal Services by Employees
- Bi-weekly Cost Master by Employee
- Bi-weekly Cost Master by Bureau
- Bi-weekly Employee Detail Report
- Bi-weekly Compensatory Leave Earned
- Bi-weekly Compensatory Leave Taken
- Bi-weekly Manhours and Cost by Appropriation
- Bi-weekly Payroll Funding Report
- Monthly Overtime Report
- Cumulative Manhours and Cost Report
- Bi-weekly Comprehensive Payroll
- Bi-weekly Health Benefits
- Bi-weekly Union Dues

The above are all by-product listings produced from the Comprehensive Payroll and Master Payroll data stored in the computer.

In general, they are used by accounting operations branches and Payroll Section to establish accuracy of accountability. Client units also use some of them for procedural and production analysis and other managerial purposes. Thus, they are of short term value since the data base changes very rapidly.

Dispose when superseded by a new issue.

(Personal Services Tape No. 2, see Item 353)

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

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

(Master Payroll Tape No. 1)

542. Accounting Listings. These include the following:

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

These are by-product listings derived from Undelivered Orders, Accruals, and Disbursements Detail Batch Listings. In general, they are used by accounting operations branches to make detailed reconciliations and for the preparation of monthly reports. Client units use them for various internal purposes.

Retire to SHA at the end of every quarter and dispose 1 year later.

(Intermediate Tape No. 10, see Item 353)

543. Other Accounting Listings. These include the following listings which are produced as needed:

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

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

Dispose when superseded by a new issue.

(Monthly Project Title Tape No. 11, see Item 353)

544. General Ledger Listings. These listings include:

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

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

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

(Offsetting General Ledger Tape No. 14 and Monthly General Ledger Tape No. 13, see Item 353)

#### Accounting Standards Division

The Accounting Standards Division, under the Chief Accountant, shall formulate standards applicable to accounting matters, the coordination and integration of all administrative systems of a financial nature, including those operating in an automated environment and the development of unit costs for planning and controlling operations. The Division is also responsible for reviewing accounting systems design and financial systems implementation for

approval; assisting in the improvement of accounting systems; coordinating accounting practices; and providing liaison with central agencies on accounting matters and on administrative system matters. The Division is also responsible for coordination with central agencies on grants management matters and for coordination of the administration of grants.

545. Financial Management Subject File. Contains documentation applying in general to the program, system, and policy for the financial management of the Department and consideration of accounting structures and systems for its improvement. Such systems and procedures are revised or obsoleted periodically.

Start a new file every 5 years, retire to SHA 2 years later, and transfer to WNRC 3 years later. Dispose of when 25 years old.

546. Accounting Evaluations. These are papers accumulated in the course of evaluating existing systems and the development of improved systems for primary operating units. Copies of the systems approved by the Department and submitted to the Comptroller General for approval are also included with related papers. Such system are revised or obsoleted periodically.

Start a new file every 5 years, retire to SHA 2 years later, and transfer to WNRC 3 years later. Dispose of when 25 years old.

547. Accounting System-Office of the Secretary. Documentation of the examination of the existing accounting system of the Office of the Secretary and of determination of steps required to modernize the system. More specifically, the file includes a payroll automation study, systems for accounting for printing, Central Accounting Division procedures, an evaluation of bids for electronic data processing hardware, and similar papers.

Start a new file every 5 years, retire to SHA 2 years later, and transfer to WNRC 3 years later. Dispose when 25 years old.

548. Special Financial Studies. These are one-time studies conducted as projects to investigate specific financial management problems and resolve them.

Retire closed cases to SHA at the end of every 3 years. Dispose 10 years after case is closed.

549. Implementation of Regulations. Contains regulations issued by the Office of Management and Budget, Treasury, and GAO on financial management with related papers implementing actions to carry them out within the Department.

Retire closed cases to SHA at the end of every 3 years. Dispose 10 years after case is closed.

### Budget Operations Division

The Budget Operations Division shall be responsible for budget administration for the Office of the Secretary, including budget formulation and preparation and monitoring of operating budgets; shall administer the Office of the Secretary Working Capital Fund and Office of the Secretary trust funds (consisting of contributions from non-public sources and payments from private sources, and the special foreign currency and U.S. expositions programs); and shall develop, negotiate, and execute reimbursable agreements with the Executive Office of the President, other Departments and agencies, and the Departmental offices and operating units of Commerce with regard to services to be performed by or for the Office of the Secretary. The Division shall also advise the Controller on cash flow matters and conduct case flow analysis and forecast as required by the Financial Operations and Practices Committee.

550. General Administration Budget File. The file reflects the role of the Division in administering the budget for the Office of the Secretary, the Working Capital Fund, Secretarial trust funds, special foreign currency accounts, and special reimbursable agreements. It includes, on a fiscal year basis, materials on proposed budgets, approved budgets, and obligating documentation for budget execution.

The file is segmented by Salaries and Expenses, Reimbursables, Working Capital Fund, Special Appropriations such as gifts, bequests and foreign currency matters, and Special Initiatives.

Break file annually. Retain current and 2 years files in office and then retire to SHA. Dispose of 3 years later.

551. Budgetary Background File. Consists of documents providing background information on regulations, procedures, Comptroller General decisions, and other data required in carrying out budget preparation and execution responsibilities.

Dispose of when no longer needed for current business.

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

Dispose of when 2 years old.

#### OFFICE OF INVESTIGATIONS AND SECURITY

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5 and subject to such policies and directives as the Assistant Secretary may prescribe, the Office shall conduct investigations, as authorized, serve as the focal point for personnel security matters within the Department, establish policies and procedures for documentary security and physical security throughout the Department, advise the Assistant Secretary on all security matters, represent the Department, as appropriate, on security matters, and carry out certain physical protection assignments.

553. Personnel Security Investigation Case Files. Case files containing investigation reports and related papers pertaining to personnel security investigations. Such investigations are undertaken for security purposes and to other persons obligated to the Department, in terms

of their activities affecting their official duties or obligations. Pertinent information on such investigations is available in the U.S. Civil Service Commission or other governmental investigative agencies, and is carded and indexed in files maintained by the Office.

- a. Cases requiring no further action - Dispose of cases after carding and upon determination that the information indicates that no further action is required.
- b. Cases requiring further action - Dispose of cases 15 years after initiation of a case.

554. Criminal Investigation Case Files. Case files containing results of actions taken involving alleged criminal activities by employees or other persons or firms obligated to the Department.

- a. Cases requiring no further action - Dispose of cases after carding and upon determination that the information indicates that no further action is required.
- b. Cases requiring further action - Retire to SHA 5 years after completion of actions taken, for transfer to WNRC. Dispose of 10 years thereafter.

555. Equal Employment Opportunity Investigation Case Files. Case Files containing investigative reports and related papers on complaints of alleged discrimination by employees or job applicants.

Retire to SHA upon completion of investigation. Transfer to WNRC 2 years later. Dispose of 4 years after case is closed.

556. Card Index of Investigative Cases. A card file arranged alphabetically by names of employees, or job applicants, or persons or firms having obligations to the Department containing the case file number, if applicable, and a carding of all actions taken in a case.

Dispose of cards when 15 years old or upon separation of the person or firm, whichever comes sooner.



557. General Physical and Documentary Security File. General documentation generated by the Office pertaining to the operation of the program to maintain plant and informational security.

Start a new file every 3 years. Bring forward active material. Retire to SHA 2 years later for transfer to WNRC. Dispose when 10 years old.

558. Interdepartmental Committee on Internal Security. Papers of the Departmental representative showing the deliberations of the Committee to resolve security problems confronting Government agencies.

Retire to SHA when there is a change of Departmental representative and transfer to WNRC 5 years later. Dispose when 15 years old.

559. National Security Program Subject File. The files contain external and internal directives and other documents involving various national security programs in which the Department is involved.

Dispose of when program or activity is completed, or when 25 years old, whichever comes sooner.

560. Department Security Correspondence File. The file contains correspondence with offices and bureaus of the Department, Congressional correspondence, correspondence with other agencies, and with private investigation firms relating to the specifics of the Department's security program.

Start a new file every 5 years. Bring forward active material. Retire to SHA for transfer to WNRC. Dispose when 10 years old.

561. Administrative Subject File. These are office copies of housekeeping papers on matters such as budget, internal personnel matters of the Office, requisitions for services and other objects, time and attendance, space, equipment, travel, and other similar housekeeping activities.

Dispose of when 2 years old.

562. Top Secret Accounting and Control Files.

a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

b. Forms accompanying documents to insure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Destroy when related document is downgraded, transferred, or destroyed.

563. Classified Document Container Security Files. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

Destroy when superseded by a new form or list, or upon turn-in of containers.

564. Document Receipt Files. Classified documents receipts, relating to the receipt and issue of classified documents.

Destroy when 2 years old.

565. Classified Document Register (Form CD-297 or equivalent). This is a register of the receipt and issue of classified documents.

Dispose of when registered documents have been disposed of.

566. Building Pass and Credential Files. The files consist of materials pertaining to the issuance of building passes and investigative credentials.

- a. OIS employee inventory cards covering passes and credentials - Dispose of upon separation of employee.
- b. Correspondence and related documents - Dispose of when 2 years old.

- c. Department inventory of passes and credentials - issued - Dispose of when passes or credentials covered have been superseded.

567. Daily Visitor Log Files. The files consist of logs for recording visitors admitted to the buildings.

Retain only the current and previous month's logs.

568. Family Visitor Logs (Form CD-328 or equivalent). These are logs recording the visits of families of employees.

- a. VIP employee visitors - Retain until separation of employee, then destroy.
- b. All others - Retain only current and previous month's log.

569. Request for Admittance After Hours (Form CD-165 or equivalent).

Dispose of when 6 months old.

OFFICE OF ORGANIZATION AND  
MANAGEMENT SYSTEMS

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives as the Assistant Secretary may prescribe, the office shall:

a. Perform, on a Departmentwide basis, management consulting, organizational review, management improvement, directives management, information management and related management service functions, and emergency readiness functions.

b. Exercise such authorities of the Assistant Secretary for Administration as are implicit in and essential to carry out the functions of the Office.

The Director shall be the adviser to, and representative of, the Assistant Secretary for Administration for organization and management matters, and shall serve as adviser to other Department officials with respect to these matters.

To carry out these functions, the Director shall be assisted by a Deputy Director and the following divisions:

Management Analysis  
Information Management, and  
Emergency Planning and Coordination

570. Management Policy Subject File. The file consists of documentation generated by the Director and his immediate staff relating to the management of the programs, organization, staffing, and accomplishments of the Department. Also included are papers pertaining to problems or emerging situations requiring top level consideration and management decisions, and materials concerning Department-wide implementation of the Freedom of Information and Privacy Acts. Arranged alphabetically by subject topic.

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

571. Special Studies and Project Papers. Contains correspondence, proposals, survey data, inventories, and related project or study documents created in conducting projects to resolve matters of general concern at the Secretarial level.

Retire to SHA 2 years after completion of projects. Transfer to WNRC 2 years later. Dispose of 6 years later.

572. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, personnel, budget, requisitions for supplies and services, travel, and similar housekeeping activities.

Dispose of when 2 years old.

573. Chronological Files. The file consists of an extra copy of documents prepared or signed in the office, and maintained by date.

Dispose of when 2 years old.

## Management Analysis Division

The Management Analysis Division shall plan and conduct management studies and surveys of the Department or of specific organization units or functions, as requested or approved; direct or participate in joint task force activities involving other elements of Administration or of the Department; conduct activities to promote management improvement efforts by organizations of the Department and to stimulate and use the extension of effective management tools and techniques; and, as directed, develop and institute new or revised policies, requirements, standards, and procedures on Departmentwide management and administrative matters. The Division is also responsible for analyzing proposed changes to the Department's primary organization structure and for reviewing proposed legislation and proposals within the Executive Branch involving organizational matters affecting the Department. The Division shall work with its counterpart organizations within the operating units to improve and coordinate the management analysis function throughout the Department.

574. Management Analysis and Improvement Subject File. Consists of documents reflecting the activities of the Division in promoting management improvement efforts, reporting to Congress and others on management improvement efforts, surveying organizational units to improve operations, and analyzing and reviewing proposed organizational changes, administering the management intern program, and similar management analysis activities.

Retire to SHA when 5 years old. Transfer to WNRC 1 year later. Dispose of when 10 years old.

## Information Management Division

The Information Management Division shall develop policies, procedures, standards, and relevant rules and orders to assure Department compliance with the provisions of the Freedom of Information Act as amended, the Privacy Act of 1974, the Federal Advisory Committee Act, and the Government in the Sunshine Act; monitor policy compliance by units of the Department; review the units' imple-

mentation of the rules and orders; function as the focal point in coordination with the Department's Office of the General Counsel in the administration of the referenced statutes; operate the Department's Central Reference and Records Inspection Facility for the public inspection and copying of information and records under the Freedom of Information Act, supplement and support the functions of the Commerce Information Policy Issues Committee; and serve as the principal staff component of the Department on information management and committee management functions.

575. Committee Management File. Contains documentation of the Department's policy for establishing, using, or terminating inter agency, advisory, and other committees, and of criteria for the Department's committee management program. Also included are records on the Department's position on various types of committees with related rosters of members.

- a. Committee management subject files - Retire to SHA when 3 years old. Transfer to WNRC 3 years later. Dispose of when 15 years old.
- b. Committee management control files - Retire to SHA at the end of year in which case is closed. Transfer to WNRC 4 years later. Dispose of when 25 years old.
- c. Records pertaining to the Business Council - Permanent. Retire to SHA when 3 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

576. Privacy Act Policy and Procedures Subject File. Consists of documentation on the Departmentwide program for implementing and complying with the Privacy Act. Included are such subjects as OMB Circulars and Guidelines, Department of Justice Opinions, NBS Computer Security Guidelines, Federal Register Publication of Systems of Records, Government-wide Systems and Rules, and Routine Use Statements.

Retire to SHA when 3 years old. Transfer to WNRC 2 years later. Dispose of when 15 years old.

577. Privacy Act Requests and Appeals File. Consists of documentation reflecting the processing of Privacy Act requests for access to or amendment of records, and the appeals made in accordance with law and regulations with regard to Department processing of the requests. (Applies to requests and appeals handled by the Privacy Act Officer for the Office of the Secretary only.)

Retire to SHA 6 months following end of year in which request or appeal is fully satisfied.  
Transfer to WNRC 1 year later. Dispose of 4 years after satisfaction of request or appeal.

578. Privacy Act Report Files. Recurring reports and one-time information requirements relating to agency implementation, including annual reports to the Congress and the Office of Management and Budget, and the Report on New Systems.

- a. Annual Department Reports - Permanent. Retire to SHA when 3 years old. Transfer to WNRC 1 year later. Offer for transfer to the National Archives when 15 years old.
- b. All other reports - Retire to SHA when 2 years old and dispose when 5 years old.

579. Privacy Act Logs and Registers. Includes logs maintained to control processing of requests and appeals under the Act, identifying individual requests.

Destroy 5 years after date of last entry.

580. Freedom of Information Policy and Procedure Subject File. The file consists of documentation on the Department-wide program for implementing and complying with the Freedom of Information Act, including the operation of the Department's Central Reference and Records Inspection Facility. Included are such subjects as Justice Department Guidelines, FOIA Actions, Indices, Fees, Training and Conference, Media Articles, Arab Boycott, and Correspondence.

Retire to SHA when 3 years old. Transfer to WNRC 2 years later. Dispose of when 15 years old.

581. Freedom of Information Requests and Appeals File. Consists of documentation reflecting the handling of requests for access to records under the Act, and the appeals made in accordance with law and regulations regarding the Department's handling of the requests. (Applies to requests handled by Central Reference and Records Inspection Facility only.)

Retire to SHA at end of year in which request of appeal is fully satisfied. Transfer to WNRC 1 year later. Dispose of 4 years after satisfaction of request or appeal.

582. Freedom of Information Report Files. Recurring reports and one-time information requirements relating to the implementation of the Act, including annual reports to the Congress.

- a. Annual Departmental Reports - Permanent. Retire to SHA when 3 years old. Transfer to WNRC 1 year later. Offer for transfer to the National Archives when 15 years old.
- b. All other reports - Retire to SHA when 2 years old and dispose when 5 years old.

583. Freedom of Information Logs and Registers. Includes logs maintained to control processing of requests and appeals under the Act, identifying individual requests.

Destroy 5 years after date of last entry.

#### Emergency Planning and Coordination Division

The Emergency Planning and Coordination Division shall coordinate and assist Departmentwide in complying with the requirements of Executive Order 11490; direct the development, coordination, testing, evaluation, and implementation of all emergency plans and programs in the fields of continuity of government, natural disaster recovery assistance, civil preparedness, and domestic crises; assist operating units in the development of their emergency plans and review these plans for adequacy in terms of assigned functions; administer the Department's National Defense Executive Reserve Program; prepare, maintain, and control emergency assignments for



the Secretary, Secretarial Officers and others, as required, and brief these officials on the current status of the Department's emergency functions; establish and maintain an emergency alerting procedure for headquarters and field personnel, and plan, coordinate, and evaluate emergency tests and exercises conducted by the Department; coordinate the plans, procedures, and activities of the Department and its operating units in disaster assistance and crises management programs, including Departmental reports to the Federal Preparedness Agency (FPA/GSA) and other Federal agencies; develop and coordinate Department Administrative Orders pertaining to emergency preparedness plans, procedures, operations, and related programs; control approval of the obligation of funds for emergency activities charged against the Working Capital Fund, and evaluate budget requests of other units of the Department concerned with emergency activities; develop and administer, both at national and field levels, the Department's policies on continuity of essential functions, and the acquisition, maintenance, staffing, and operations of all emergency operating facilities. The head of the Division shall also perform the functions of Emergency Coordinator for the Department, as prescribed in Federal Preparedness Circular No. 10 of August 20, 1976, and issue instructions and guidance to the Department's Regional Emergency Coordinators

Also serves as a focal point for managing and operating the Department's directives management activities, and the Department's reports management activities, including management of public reporting.

584. Director's Security Classified File. These are security classified documents dealing with the emergency readiness program received from other agencies which are responsible for the maintenance of record copies. Most of these documents are transmitted to the Department to satisfy a need to know and require no substantive action on its part. The few requiring such action are implemented by an internal document(s) that stand in lieu of the item(s) from another agency and adequately document the situation without the support of outside material.

- a. Documents requiring substantive action by Department - Dispose when 2 years old.

- b. Informational documents - Dispose when they have served their purpose.

(This item in no way relieves the office of responsibility for destruction of security classified material in accordance with security regulations.)

585. Civil Defense Survival Program. Papers pertaining to emergency planning actions such as fire protection, alert plans and systems, training, rosters of persons with potential for executive or professional positions in an emergency, reports, and instructions.

Start a new file every year, retire to SHA, and dispose 2 years later.

586. Emergency Subject File. Documentation of communications, systems and equipment, emergency exercises, coordination with other agencies, operating facilities, plans, natural disasters, Office of Emergency Planning instructions, and reports.

Start a new file every 3 years, retire to SHA, and dispose 2 years later.

587. Emergency Readiness Committee Papers. These are designations of representatives on the Committee, agenda, minutes of meetings, brochures, and other releases of the Committee.

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Permanent. Retire to SHA when there is a change of Departmental representative. Transfer to WNRC 2 years later.  
Offer to the National Archives 20 year

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

Dispose when 2 years old.

589. Directives Case Files. These comprise a case file for each Department Organization Order, Department Administrative Order, Secretary's Circular, and Administrative

Instructions. Each case file contains copies of drafts, clearances, and other background papers with a printed copy of the directive is issued. Arranged by directive number.

Permanent. Retire closed cases to SHA at the end of every year. Transfer to WNRC 4 years later. Offer for transfer to the National Archives 20 years thereafter.

590. Public Use and Other Reports Management File. The file reflects the Departmentwide program for maintaining liaison with OMB on management and clearance of public-use reports, and with NARS on interagency reporting requirements, and the activities of the reports staff in these management areas. It includes materials on the Public Burden Reduction Program.

Start a new file every 2 years and retire to SHA. Bring forward active materials as required. Dispose of 2 years thereafter, including approved clearance cases.

#### OFFICE OF PUBLICATIONS

a. Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5 and subject to such policies and directives as the Assistant Secretary for Administration shall prescribe, the Office of Publications shall provide publications, printing (both conventional and microform), and related services to organizations of the Department. To carry out this responsibility, it shall perform the following functions:

1. Formulate policies on publishing, develop standards for the design and style of publications, and advise officials of the Department on these matters.
2. Provide printing and publications management services for organizations of the Department, which shall consist of performing design, graphics and photographic services, determining the method of printing for particular publications, operating a

central printing plant and a central micrographic service, managing the Working Capital Fund for printing and related activities, procuring all printing and related work, performing or overseeing publications mailing services, and undertaking sales promotion programs.

3. Review proposed and existing publications, including their pricing and distribution, and recommend elimination, consolidation, or other appropriate changes.

4. Conduct or coordinate, on behalf of all elements of the Department, all contacts with the Joint Committee on Printing and with the Government Printing Office, including the Superintendent of Documents, directly related to its authority as defined herein.

5. Review for approval all requests of elements of the Department for the purchase or rental of printing (conventional or microform), binding and related equipment, including copying machines.

6. Carry out principal Departmental responsibility for coordinating and processing all requirements for seals and emblems (as prescribed in DAO 201-1), and for stationery specifications (as prescribed in DAO 214-2).

b. The publications, printing and related functions of the Office of Publications shall be construed to apply to all publications originally produced by elements of the Department and to all requisitions for printing from any organization of the Department.

#### Office of the Director

591. Publications Management Subject File. Documentation generated by the Director in planning, directing, and implementing a uniform publications management program for the Department, and in directing the printing plant operations at headquarters.

Start a new file every 5 years, retire to SHA 3 years later, transfer to WNRC 2 years later. Dispose when 15 years old.

592. Administrative Subject File. These are office copies of papers pertaining to the staffing and operations of the Office such as equal employment opportunity, payroll, leave, security, training, employee incentives, personnel actions, and other housekeeping matters.

Dispose of papers when 3 years old or when superseded, whichever is sooner.

### Design and Graphics Division

593. Contract File. These are copies of contracts awarded to private companies for the production of graphics with memorandum requests for graphics from customer operating units of the Department. Accompanying these papers are estimates of cost and copies of work orders from the contractor. The file folder is closed upon completion of the job.

Retire closed files to SHA at the end of every year and dispose 3 years later.

594. Glossy Photo Print File. This is a collection of selected glossy photo prints of key and senior officials of the Department and of other subjects for the use of arts and graphics specialists for completion of future jobs *and used solely for working purposes.*

Dispose of individual prints when they have served their purpose.

595. Photo Negative File. This is a collection of selected photographic negatives of people, scenes, and selected shots of unique significance in the development of the Department. Filed numerically by assigned number (*See related ITEM 61*).

Permanent. Transfer inactive negatives to SHA at the end of every 5 years and ~~transfer to WNRC 5 years later.~~ Offer for transfer to the National Archives ~~20~~ years thereafter.

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596. Administrative Subject File. Documentation of procedures, guidelines and instructions governing the internal operation of the graphics program of the Department. This includes office copies of personnel actions, time and attendance reports, production reports and other housekeeping papers.

Start a new file at the end of every 2 years, retire to SHA and dispose one year later.

#### Program Analysis and Support Staff

597. Costing System File. Documentation of the cost data supporting and used to prepare the Schedule of Prices and Guide to Estimating Charges for Printing, Binding, Graphics and Related Services.

Dispose 2 years after issuance of the related schedule.

598. Annual Printing Plant Report. These are office copies of the Annual Printing Plant Report from each primary operating unit and a Departmental report compiled by the Staff and submitted to the Joint Committee on Printing and Binding.

Dispose when 3 years old.

599. Daily Production Reports. These are copies of the production reports on work performed by type or category submitted by each of the production units in the Printing Division and Graphics Division.

Dispose when 2 years old.

600. Purchase Orders for In-House Printing Contracted Out. These are retain copies of purchase order for printing jobs that ordinarily would be produced in the printing shop. For justifiable reasons a number of such jobs are contracted out.

Dispose when 3 years old.

601. Daily Time Sheet for Offset Printing Plant. These are copies of a daily time and production sheet submitted by each employee working in the printing plant.

Dispose 1 year after issuance of the Daily Production Report.

602. Billing Statements. These are copies of billing statements for printing services rendered to customer units. The action copy is sent to the Central Accounting Division.

Dispose when 2 years old.

603. Summary of Billing Statements. These are copies of monthly and annual summaries of billing statements for printing services rendered customer units.

Dispose when 3 years old.

604. Inventory Control Register. These are copies of an inventory of supplies showing quantity acquired, on hand, and the dollar value for each item.

Dispose of individual sheets 2 years after completion of entries of all lined items on it.

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

Dispose when no longer needed for current business.

#### Printing Division

606. Printing Planning File. Documentation of printing planning arranged by organizational subdivision and papers pertaining to specific publications arranged by their titles.

Start a new file every 3 years, retire to SHA 1 year later and dispose 2 years later.

607. General Subject File. This contains papers related to printing matters in general and to overall operation of the plant.

Start a new file every 3 years, retire to SHA  
1 year later and dispose 2 years later.

608. Sample ITA Orders. These consist of selected copies of printed ITA orders and regulations used to establish format and other printing technical requirements.

Dispose when they have served their purpose.

609. Administrative Reports. These are the office copies of internal reports including sign in and out sheets, tabulation of Xerox copies produced, production, and overtime reports.

Dispose when 2 years old.

610. Daily Production Reports. Copies of a daily report of shop production showing time worked, jobs by type or category, and absentees.

Dispose when 1 year old.

611. Equipment Control File. These are copies of requests from all elements of the Department for printing, reproduction, and similar items classed as printing equipment. Included are copies of the Equipment Review Committee action on such requests with related papers and purchase orders, if any.

Start a new file at the end of every year, retire to SHA and dispose 2 years later.

612. Personnel File. These are copies of papers on the pay status performance and notifications of personnel actions for each member of the staff. Also included are time and attendance reports.

- a. Name Folders - Dispose upon separation of employee.
- b. All Other Papers - Dispose when 2 years old.



613. Blanket Printing and Binding Requisitions. These are copies requisitions for work to be done by the GPO, by a private contractor through GPO, or directly by a contractor on a blanket basis or for a single job. The requisitions are accompanied by the related Departmental printing requisition and a copy of memorandum order and supplementary specifications.

Dispose when 3 years old.

614. Job Registers. All printing jobs sent to GPO are registered by requisition number, bureau, and by GPO jacket number. The register also shows bureau requisition number, quantity, description of job, estimated cost, and actual cost.

Dispose when 5 years old.

615. GPO Printing Bills. Bills from the GPO for printing done for the various bureaus. These are office copies used to verify the charges before bills are made up and forwarded to the customer bureaus for payment.

Dispose when 3 years old.

616. Requisitions for In-House Printing. These are copies of the requisition for printing to be done in the plant with the related shop work order and a final cost sheet.

Retire to SHA when 2 years old and dispose 1 year later.

#### Composition Division

617. Printer's Specifications. Instructions to the printer specifying the precise fonts, headings, margins, bindings, and other printing technicalities applying to specific jobs.

Dispose of closed cases when 2 years old.

618. Sample Printed Jobs. Samples of publications as printed used to prepare specifications and mock ups for the printer.

Dispose when they have served their purpose.

619. Job Log. Log of printing jobs by bureau, requisition number, shop or GPO number, pages of manuscript, and the dates of various steps in the production process.

Dispose when 2 years old.

620. Outside Contracts for Printing. These are copies of contracts for private printers for specific jobs.

Dispose when 2 years old.

621. Camera Copy. This is the manuscript copy of which a photographic or some other type of plate is made to produce multiple copies.

Dispose when they have served their purpose.

#### Micrographics Division

622. Administrative Subject File. This contains internal memorandums, instructions, and similar housekeeping papers pertaining to the operation of the Division and reference copies of Departmental and other directives. Included are office copies of time and attendance reports, and copies of personnel papers with a visible personnel locator file.

Start a new file every 2 years and dispose when 3 years old.

623. Supply Inventory File. This is an inventory of expendable supplies that is updated to show the economic ordering quantity and the re-order date.

Dispose of individual sheets when replaced by a new sheet.

624. Monthly Printing Services Billings. This consists of a daily tabulation of printing services performed for the Center that are posted to a monthly bill.

Dispose when 3 years old.

625. Daily Time and Production Reports. These include daily attendance records, maintenance logs, copytron report, daily production report, microfiche masters report, enlargement report, document processing production, micrographic daily report, operators daily report, and the like, all of which, are feeder reports included in summary tabulations.

Dispose one month after issuance of related summary tabulation or when 1 year old, whichever is sooner.

626. Printing Requisitions. These are office copies of requisitions for printing services, including photographic jobs, performed for the Center and other government agencies. Accountability and program copies of these requisitions are forwarded to the Office of Publications, Main Commerce Building for appropriate action.

Dispose when 1 year old.

627. Printing Job Controls. This consists of a (5x8) clearinghouse printing request (job order) and a log of printing jobs completed and delivered.

Dispose when 1 year old.

RESERVED

## OFFICE OF PERSONNEL

Pursuant to the authority vested in the Assistant Secretary for Administration by Department Organization Order 10-5, and subject to such policies and directives as the Assistant Secretary for Administration may prescribe, the Office shall:

a. Have Departmentwide staff responsibility for all matters, other than equal employment opportunity, relating to personnel management and administration, including staffing controls, recruitment, employee utilization and development, job classification, pay administration, labor relations, training, employee benefits and services, personnel management evaluation, occupational health, and incentives programs;

b. Perform specified services in the functional areas of personnel operations and conduct equal employment opportunity programs and activities as required by the Office of the Secretary and other selected organizational units of the Department; and

c. Establish and maintain close working relationships with the U.S. Civil Service Commission and other Government agencies, as appropriate.

### Office of the Director

628. Director's Administrative Management File. Consists of records of the Director and Deputy Director serving as guidance covering personnel management procedures, budget preparation, and other aspects relating to the direction and specific interests of the Director and Deputy Director in the Department's personnel management program.

Start a new file every 3 years and move active materials forward as needed. Dispose of when 5 years old.

629. Planning and Policy Subject File. Documentation which identifies and defines problem areas, explores possible solutions and related data which is ultimately used to develop agency-wide personnel management plans, policies and authoritative directives.

Start a new file every 5 years, retire to SHA after 5th year, and transfer to WNRC 1 year later. Dispose of when 25 years old.

630. Committee File. This is comprised of copies of agenda, minutes of meetings, transcripts or summaries of transactions and similar papers accumulated as a result of participation by the Director, or his representative, or because of a special interest in the activities of the Committees. Filed alphabetically by Committee.

Temporary.

~~Retire to SHA~~ Retire to SHA when there is a change of Departmental representative and transfer to WNRC 5 years later. ~~Offer for transfer to the National Archives 20 years thereafter~~ Destroy when 20 yrs old.

631. Emergency Relocation File. Contains plans, instructions, and procedures for implementing a program for the continuity of personnel management in the Department in case of a national emergency.

Dispose of individual documents when superseded.

632. Presidential Appointments and Biographical Files. Documentation on the establishment, filling, and description of positions filled by Presidential appointment. Also includes biographical information on top level officials of the Department and related correspondence. Arranged alphabetically by name.

Permanent. Retire closed cases to SHA at the end of every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

633. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as printing, travel, weekly reports, time and attendance, taxi vouchers, and similar internal housekeeping matters.

Dispose of when 2 years old.

## Policy Staff

The Policy Staff shall serve as the technical personnel policy adviser to the Director, to other components of the Office, and to the Department's operating units. In conjunction with the division chiefs, the Staff shall plan the development and issuance of Department personnel policy, regulations, programs, and instructions; coordinate within the Office of Personnel the development of legislative proposals on personnel matters, and coordinate comments on proposed legislation, Civil Service Commission issuances, various Department orders and other issuances requiring clearance or concurrence of the Director of Personnel. It shall participate in personnel management evaluation activities; provide technical advice and assistance, as needed, on matters involving contracting for personal services; and shall be responsible for the personnel management aspects of the Freedom of Information Act and the Privacy Act within the Office of Personnel. The Staff shall plan, direct, and review the labor-management relations policies and programs of the Department, and shall provide technical advice, guidance and assistance to the Director, to other components of the Office, and to operating units on all aspects of labor-management relations.

634. Personnel Policy File. Documentation accumulated in developing policies and directives to carryout within the Department requirements of the Federal Personnel Manual and also includes documentation on personnel privacy matters. The papers are arranged under the same subject numeric headings that appear in the Federal Personnel Manual.

Start a new file every 4 years and retire to SHA  
4 years later. Transfer to WNRC 1 year later.  
Dispose when 20 years old.

635. Personnel Management Directives. Copies of each Department Organization Order and Department Administrative Order issued on personnel management with drafts, comments, clearances, and other background papers. The supporting papers maintained in these case files are only duplicated in small part in the directives file maintained

in the Office of Management and Organization. The cases are closed when the subject directive is revoked or rescinded and filed separately.

Retire closed cases to SHA at the end of every 2 years and transfer to WNRC 3 years later. Dispose when 20 years old.

636. Personnel Bulletins. These bulletins issued by the Office of Personnel contains instructions, authoritative interpretation of law and regulations, and other guidance to personnel offices of primary operating units. The file also contains signed manuscripts and other background papers for each bulletin.

Retire closed cases to SHA at the end of every 2 years. Transfer to WNRC 3 years later. Dispose of when 20 years old.

637. Legislation of Interest to the Department. Consists of copies of proposed legislation and comments relating to personnel matters of interest to the Department. Arranged by session of Congress.

Retire to SHA after 6 years. Transfer to WNRC 1 year later. Dispose of 10 years later.

638. Legislation Initiated by or Affecting the Department. Consists of copies of proposed legislation initiated by or directly affecting personnel management within the Department.

Retire to SHA after 10 years or after legislation is enacted, whichever is sooner. Transfer to WNRC 1 year later. Dispose of 10 years later.

639. General Correspondence File. Contains incoming and outgoing papers of general application to various elements of personnel management of interest to the office and related printed and processed materials.

Start a new file every year. Retire to SHA 3 years later. Dispose of when 6 years old.

640. Administrative Subject File. Consists of office copies of documents pertaining to internal housekeeping activities such as time and attendance, travel, budget, printing requisitions, requisitions for supplies, and similiar housekeeping activities.

Dispose of when 2 years old.

641. Chronological File. Consists of an extra copy of documents prepared or signed in the Office and maintained by date.

Dispose of when 2 years old.

642. Labor-Management Relations General Correspondence. Consists of memoranda, letters, reports, and other records relating to the day-to-day relationship between management and employee unions.

After 5 years, move forward to active files any records necessary to establish bargaining history or practice. Dispose of all others when 5 years old.

643. Labor-Management Relations Negotiated Agreements. Consists of agreements negotiated between management and labor organizations together with related papers.

Five years after labor organization is no longer recognized, move forward to active files any records necessary to establish bargaining history or practice. Dispose of all others when 5 years old.

644. Labor-Management Relations Third Party Cases. Consists of correspondence, memoranda, reports, hearings and other records relating to decisions of third-party authorities in labor relations (for example, Federal Labor Relations Council, Assistant Secretary for Labor-Management Relations, Federal Services Impasses Panel, or Federal Mediation and Conciliation Service).

Five years after close of case, move forward to active files any records necessary to establish bargaining history or practice. Dispose of all others 5 years after close of case.



Program Evaluation and Systems Division

The Program Evaluation and Systems Division shall plan, schedule, and coordinate personnel management program evaluation surveys throughout all organizational units of the Department; monitor the issuance of reports of findings, providing evaluation and analysis of the effectiveness of personnel management programs; and shall coordinate the personnel management evaluation system within the Department and with the Civil Service Commission. The Division shall be responsible for the personnel management information system; for developing and maintaining surveillance of automated personnel systems in use throughout the operating units; for ensuring compliance with Civil Service Commission requirements for the Central Personnel Data File -- and ultimate conversion to the Federal Personnel Management Information System; and shall serve as the control point for all Department-wide personnel management forms, reports, statistical evaluations and analyses.

645. Personnel Management Evaluation Reports. Contains surveys with background papers and evaluation reports on the personnel management program of the Department. These reports are prepared in a three-year cycle so as to cover the programs of all operating units at least once during the period.

Dispose of when 5 years old.

646. Civil Service Commission Inspection Reports. These are copies of reports of CSC inspections and responses to them if any are required.

Dispose of when 5 years old.

647. Recurring and Special Reports. These are copies of recurring reports on established personnel management areas that produce accurate measurement standards needed to analyze and evaluate the program. Copies of special reports are also included which generally deal with one time situations or emerging problems.

Dispose of when 5 years old.

648. Periodic Personnel Statistical Reports. These are copies of printed statistical reports showing total employment by organization unit, grade, job classification and other categories.

Break file every 5 years, retire to SHA 3 years later, and transfer to WNRC 2 years later. Dispose when 25 years old.

649. CSC Reports File. Copies of reports showing employment by occupation, minority group, grade, and salary.

Retire to SHA when 3 years old and dispose when 6 years old.

650. Departmental Manpower Management Report. These are copies of a statistical report prepared by computer showing minority employment, employment by occupation, and geographic distribution.

Retire reports to SHA when 2 years old and dispose when 5 years old.

651. Monthly Report of Federal Employment (SF-113A or equivalent). Copies of a report submitted monthly to the Civil Service Commission showing the total Departmental employment. The report, which provides a continuing record of Department employment levels, contains data for a Department summary as well as for each constituent agency. Arranged by date.

Permanent. Retire to SHA at end of every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

652. Organizational File. Background information on personnel management activities within the constituent agencies of the Department. The file serves as background for pursuing periodical personnel management evaluations.

Dispose of when no longer needed for current business.

653. Personnel Management Evaluation Development File. Consists of documents created or accumulated pertaining to personnel management evaluation procedures, criteria, and methodology.

Dispose of when no longer needed for current business.

654. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping matters as budget, travel, time and attendance, mail, requisitions for supplies and printing, and similar housekeeping activities.

Dispose of when 2 years old.

655. Chronological Reading File. Consists of an extra copy of documents prepared or signed in the office and kept by date.

Dispose of when 3 years old.

### Medical Division

The Medical Division shall plan and coordinate Department-wide policies and programs in employee health services, represent the Director of Personnel in maintaining professional medical liaison with the U.S. Public Health Service, U.S. Civil Service Commission and other appropriate agencies; and provide advice, assistance, and consultative services to operating units in employee health matters as requested. The Division shall be responsible for planning and administering the employee health service program for the Department's central health unit.

656. Clinical Record. These are health record case files comprising of forms, correspondence and related papers documenting employee medical history. Arranged by names of employees.

- a. Line of duty medical problems - Dispose of 10 years after date of last Departmental medical treatment.
- b. All other cases - Dispose of 6 years after date of last paper in the file.

657. Individual Health Record Cards. This shows date of visit, diagnosis, medication, treatment, and notations of any other special services rendered.

Start a new file each year and bring cards forward from previous years to it when individual concerned is treated.

- a. Line of duty medical problems - Dispose of 10 years after date of last Departmental medical treatment.
- b. All other cases - Dispose of 6 years after date of last entry pertaining to the patient.

658. Inventory of Medicine, Supplies, and Equipment. This is an item by item account of articles of equipment and units of medicine received by the Division showing the disposition of each item or its replenishment as appropriate.

Dispose 2 years after the inventory has been closed and reconciled.

659. Requests for Examination and/or Treatment (CA-16). Documents pertaining to medical examination and treatment in connection with compensation cases.

Dispose when 3 years old.

660. Physician's Referral Report. These are copies of the physician's statement re patients referred to private physicians for additional medical care.

Dispose when 2 years old.

661. Authorization of Medical Treatment of Minor. These are signed statements authorizing treatment of minors signed by their parent or guardian.

Retire to SHA 3 years after last treatment and transfer to WNRC 1 year later. Dispose 10 years after last treatment.

662. Health Reports. Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.

Dispose when 2 years old.

663. Health General Subject File. Contains selected documentation which in a general way pertains to various types of cases, and to significant health program situations that have developed in the Department.

Start a new file every 10 years and dispose when 12 years old.

664. Injection Record. This is a record of injections, rest, dressings, and other medical treatment given to employees pursuant to orders of his private physician. Close cases when private physician's order is not renewed.

Dispose of closed cases 2 years after closure.

665. Inoculations and X-Ray Control Cards. This is a record of inoculations and X-Rays provided employees and notations of findings or results, as appropriate.

Dispose when last entry on card is 10 years old or upon separation of employee from Department, whichever is sooner.

666. Employee Health Maintenance Program. Documentation of physical examination of employees, grade GS-15 and above.

Retire to SHA closed cases of separated employees every 2 years. Transfer to WNRC 1 year later. Dispose of 5 years after separation.

667. Medical General Subject File. Documentation generated by the staff pertaining to current developments and programs in the medical and health maintenance field. Also included are some papers on activities such as the blood donor and urine screening programs.

Dispose of when they have served their purpose.

668. Administrative Subject File. Consists of office copies of documents pertaining to such internal house-keeping matters as budget, travel, time and attendance, requisitions for supplies or printing, and similar house-keeping matters.

Dispose of when 2 years old.

Career Management and Employment  
Services Division

The Career Management and Employment Services Division shall plan and develop career management programs and programs pertaining to staffing, employee utilization, employee relations, performance evaluation, and a variety of programs peculiar to the health and welfare of the work force, i.e., alcoholism and drug abuse. It shall provide staff assistance, policy guidance and interpretation to operating units on all matters pertaining to employment, recruitment, placement, employee relations and career-management programs; reduction in force, with particular emphasis on the mandatory and priority placement programs associated with the Department's saved grade program; maintain contacts with colleges, outside organizations, and other Federal agencies on matters pertaining to these programs; monitor a variety of employee services programs, serving as the Department's liaison between the Civil Service Commission and the operating unit Personnel Offices; and participate in personnel management evaluation activities. The Division shall administer the Department's Special Employment Programs, and coordinate such programs closely with the Civil Service Commission; provide staff guidance to Personnel Officers of the Department on the implementation, special funding and reporting requirements of these programs; and monitor or prepare the Department's narrative and statistical reports sustaining to these programs.

669. Applicants' File. Correspondence and related form records from applicants for positions the reply to which is answered by the Director, Deputy Director, or other Department executives.

Start a new file every year. Dispose of 2 years later.

670. Applicants' File Index. This is an alphabetical card index to the above Applicants' File.

Start a new file every year. Dispose of 2 years later

671. Qualification Standards. Qualification standards for positions issued by the Civil Service Commission with related drafts, comments, and other correspondence.

Dispose of when superseded by a new or revised standard.

672. Reemployment Priority File. Consists of reemployment priority lists which are revised and reissued semi-annually.

Dispose of when 2 years old.

673. Overseas American and Foreign National Position and Budget Ceilings. These are records pertaining to position and budget ceilings required for overseas American employees and foreign nationals employed by the Department.

Dispose of when 5 years old.

674. President's Executive Interchange Program. Documentation on the implementation of the President's Executive Interchange Program with emphasis on recruitment and placement of Commerce employees and private sector employees.

Start a new file every year. Dispose of 3 years later.

675. Recruitment Program File. Consists of records pertaining to reports of the Employment Information Center, and to the physically handicapped program, college recruiting activities, and to the President's management intern program.

Start a new file every year. Dispose of when 3 years old.

676. Personnel Operations Subject File. Documentation of the administration of the career development and employment services function throughout the Department including special and one-time records, roster of vacancies in critical recruiting areas, employment clearances, nepotism, international organizations, the merit promotion program, and similar career development and employment services activities.

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

677. Administrative Subject File. Consists of office copies of records pertaining to budget, requisitions for supplies and printing, building security, employee security, time and attendance, and similar internal housekeeping activities.

Dispose of when 2 years old.

#### Employee Development and Awards Division

The Employee Development and Awards Division shall plan, direct, and review Department programs for employee training and development, and shall monitor and coordinate the Executive Development Programs and the Executive Resources Boards for the Department. The Division shall plan and operate the Department's Management Training Center; provide staff assistance to operating units on interpretation and implementation of the Government Employees Training Act; and coordinate and approve Department nominations for special programs. The Division shall administer the Department's awards and recognition programs and provide staff assistance to operating unit Personnel Offices on all phases of the suggestions, awards and recognition programs; provide the Executive Secretary to the Incentive Awards Board; plan, schedule, and oversee the Department's annual and special awards and employee-recognition ceremonies as required; represent the Department with the Civil Service Commission on all matters of training, employee development and awards; and participate in personnel management evaluation activities.

678. Employee Recognition and Incentives Subject File. Documentation generated by the Chief and immediate staff pertaining to the planning, promotion, and operation of the incentive awards program of the Department. Also included are papers on policy and on specific awards that have been established with recommendations on awards (internal and external) that have been proposed or granted to Department employees, as well as such reports on awards and recognition as are needed.



Start a new file every 5 years. Dispose of 3 years later.

679. Participant Training Program File. Documentation generated by the Chief pertaining to other government and non-government training programs available to employees of the Department. Also contains nominations and acceptances of employees for participation in specific training programs and a quantity of promotional material.

Dispose of when 5 years old.

680. Executive Seminar Center and Federal Executive Institute Files. Documentation on selection and attendance of employees at courses given at Executive Seminar Centers or the Federal Executive Institute.

a. Log of attendees - Dispose of when 25 years old.

b. All other records - Dispose of when 1 year old.

681. Employee Development Policy File. These are papers relating to agreements, policies, and procedures for the establishment of a Departmental internal training government and non-government program and its utilization including reports of accomplishments submitted to CSC.

Start a new file every 5 years and dispose when 8 years old.

682. Administrative Subject File. Consists of office copies of records pertaining to such internal housekeeping activities as time and attendance, budget, requisitions for supplies or services, travel, or other similar internal housekeeping activities.

Dispose of when 2 years old.

683. Gold, Silver and Bronze Honor Awards File. Papers including nominations for awards, notification of awards granted, recommendations, and other supporting papers.

Start a new file every year. Retire to SHA 2 years later. Dispose of 3 years later.

684. Departmental Awards Log. Consists of entries covering both governmental and non-governmental awards under the purview of the office.

Dispose of when 25 years old.

685. Incentive Awards Board File. Consists of records pertaining to Board actions or approvals of Bureau special awards programs or other Bureau awards actions as required.

Move active materials forward and dispose of other records when 10 years old.

686. Commerce Supervisory Course. Contains papers concerning the participation of the Department in training supervisors as prescribed by CSC with supplies of current course materials.

Dispose when superseded or when the papers have served their purpose.

687. Commerce Executive Seminar Workshop. Contains papers concerning the participation of the Department in training executives and supplies of current course materials.

Dispose when superseded or when the papers have served their purpose.

688. Commerce Managerial Course. Contains papers concerning the participation of the Department in training managers and supplies of current course materials.

Dispose of when superseded or when the papers have served their purpose.

689. Commerce Department Developed Course Participant Log. Consists of entries descriptive of participants of Commerce Department Developed courses.

Dispose of when 25 years old.

690. Chronological Files. Consists of a copy of documents prepared or signed in the office, and maintained in date order.

Dispose of when 2 years old.

## Classification and Executive Assignments Division

The Classification and Executive Assignments Division shall plan and coordinate Departmentwide programs and activities in the areas of position classification, position management, pay administration, and the Executive Assignment System; administer and monitor the Department's Average Grade Control efforts including Vacancy Review and the Whitten and Maintenance Review Programs; maintain liaison with the Civil Service Commission on matters dealing with job evaluation, executive personnel and related program activities; formulate and issue policy guidance on matters peculiar to excepted positions, overseas allowances and differentials and hours of duty and flexitime; develop a variety of special salary schedules applicable to Department organizations throughout the country; and participate in personnel management evaluation activities. The Division shall serve as the Department's review level on all classification appeals originating within the Department.

691. Super Grade Position Folders. These are copies of the Department's request for position descriptions, executive selection, and notifications of CSC actions for super grade positions in the Department, with a (3x5) card control.

Retire closed cases to SHA when no longer needed for current business and transfer to WNRC 5 years later. Dispose when 15 years old.

692. Super Grade General Correspondence. These papers have general application to super grade positions in the Government and in the Department. Also included is documentation of executive pay rates, Presential appointees in key positions, quotas, vacancies, and the like.

Start a new file every 10 years and retire to SHA when no longer needed for current business. Dispose when 15 years old.

693. Special Scientific or Professional Position Folders (GS-16 - GS-18). Copies of papers concerning the establishment, justification, and CSC actions for such positions within the Department under Section 3104, Title V U.S. Code.

Dispose of when 5 years old.

694. Reports and Statistics File. Copies of various reports submitted to CSC and to the Congress showing salary and wage distribution, average grade, employment and pay by geographic area, minority employment, occupational distribution by area and country, position management, and the like. Arranged by date.

Permanent. Retire to SHA when no longer needed for current business and transfer to WNRC 5 years later. Offer for transfer to the National Archives 20 years thereafter.

695. General Correspondence. This is general documentation of position classifications, appeals, classification maintenance reviews, and incoming and outgoing correspondence on the same subjects with primary operating units.

Start a new file every 5 years. Move forward active materials as needed. Dispose of when 8 years old.

696. Special Pay Plans File. These are copies of special pay schedules for employees, who do not fall within standard pay systems, such as crews of vessels, and the faculty of the academy.

Start a new file every 10 years. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years later. Dispose of when 25 years old.

697. Excepted Positions File. These are schedules A, B, and C position folders containing a job description, request for CSC authority for the position, and appointment of the incumbent with related correspondence.

Dispose of when 5 years old.

698. Wage Board Salary Files. These are copies of the Regular Wage Schedule for blue collar workers under the Federal Wage System.

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

699. Wage Board Correspondence. Incoming and outgoing correspondence with primary operating units concerning schedule wage rates, changes thereof, and other wage problems of blue collar workers.

Dispose of when 5 years old.

700. Classification Standards File. These are copies of proposed classification standards with related comments and correspondence.

Dispose when the standard is issued by CSC or when 5 years old, whichever is sooner.

701. Lithographic Wage Board File. Contains copies of wage schedules and surveys with related correspondence.

Dispose of when 5 years old.

702. Factor Evaluation System File. Consists of documents pertaining to a developing system for classification of employee positions, together with related standards.

Start a new file every 5 years. Bring forward active materials as needed. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years later. Dispose of when 25 years old.

703. Senior Executive Service File. Consists of records pertaining to senior executive service positions in the Government and in the Department. Also included is documentation on Presidential appointees in key positions, quotas, vacancies and executive pay rates, and the like.

Start a new file every 10 years. Retire to SHA when no longer needed for current business. Dispose of when 15 years old.

704. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, travel, budget, requisitions for supplies and services, and similar internal housekeeping matters.

Dispose of when 2 years old.

## Operations Division

The Operations Division shall plan, organize, and administer a complete operating personnel management program responsive to the needs of the Office of the Secretary and other organizational units as specified by the Director of Personnel. The program shall include all activities relating to recruitment and placement, appointment, promotion, separation, employee relations, employee recognition and incentives, labor-management relations, job classification, employee training and development, and various employee services and benefits programs. The Division shall develop the Affirmative Action Plan and administer and coordinate the equal opportunity program for employment for all the organizational units serviced.

705. General Subject File. Contains subject and name files generated by the Chief in the course of directing personnel management operations of the Office of the Secretary and other units served.

Start a new file every 2 years and dispose when 5 years old.

706. Statistical and Other Reports File. These are office copies of operating statistical and narrative reports relating to the quantity and quality of personnel actions and operations.

Start a new file every year and dispose when 3 years old.

707. Conflict of Interest Case Files. Statements of employment and financial interests and related records reviewed to avoid development of possible conflict of interest situations.

Dispose of 2 years after separation of employee or 2 years after employee leaves position for which statement is required.

Employment, Classification, and  
Employee Relations Branches

Between them, the two Employment, Classification, and Employee Relations Branches provide various personnel operations for the constituent operating units of the Department.

708.           RESERVED

709. Position Description Files. These are copies of position descriptions showing for a position its organizational location, grade, responsibilities and duties involved, and related information.

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

710. Position Audit Survey Reports. These are copies of reports containing findings or recommendations from periodic classification audits of positions throughout the component units served by the Branches.

Dispose of when 3 years old.

711. Branch Program Subject Files. General documentation, including correspondence with the U.S. Civil Service Commission and with Congress, covering such program matters as military service, compensation, health benefits, retirement, and similar matters under the purview of the Branches of concern to individual employees.

Start a new file every year. Bring forward active materials as needed. Dispose of when 3 years old.

712. Employee Relations Case Files. These are name case files documenting such personnel problems as grievances, adverse actions, and the like handled by the offices.

Dispose of closed cases 2 years after the separation of the employee from the Department.

713. Administrative Subject Files. Consist of office copies of documents pertaining to such internal house-keeping activities as time and attendance, travel, budget, requisitions for supplies and services and similar housekeeping activities.

Dispose of when 2 years old.

Employee Development and Awards Branch

714. Employee Development Operations Subject File. Documentation pertaining to making training opportunities available to employees of the Office of the Secretary and other organizational components of the Department served by the Branch, including records concerning arrangements for employee training, and contracts and agreements for conducting employee training.

Start a new file every 5 years and dispose 2 years later.

715. Employee Recognition File. Consists of records pertaining to conferring various types of awards and recognition to individual employees.

Start a new file every 2 years. Dispose when 3 years old.

716. Training Tickler File. Consists of copies of employee training plans used for follow-up purposes.

Dispose of upon completion of training

717. "Personnel Notes" File. Consists of the record copy of the periodically issued employee house organ, "Personnel Notes" covering the Office of the Secretary and the constituent organizational units of the Department served by the Branch. Arranged by date.

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



718. Administrative Subject File. Consists of office copies of records pertaining to such internal house-keeping activities as budget, time and attendance, travel, requisitions for supplies and printing, and similar internal housekeeping activities.

Dispose of when 2 years old.

#### Computer Printouts

719. Employee Training Record. A cumulative printout, received periodically, providing all needed pertinent information covering the training of individual employees of the Office of the Secretary and the constituent organizational units of the Department served by the Branch.

Dispose of previous printouts when superseded by updated report.

720. Employee Awards Printouts.

a. Awards Record. Consists of a cumulative printout, received periodically, providing all needed pertinent descriptive information on individual employee awards in the Office of the Secretary and other organizational units served by the Branch.

Dispose of previous printouts when superseded by updated report.

b. Awards Records, by Organizational Unit. Printouts providing pertinent information on employee awards arranged by the organizational units in which the employees work.

Dispose of when no longer needed for current business.

Processing and Services Branch

721. Official Personnel Folders. This is the official record of the civilian service in the Federal Government of the named employee. Papers authorized for disposal elsewhere are not included. Transfer folders of separated employees to an inactive file on separation in accordance with the Federal Personnel Manual.

- a. Right side of Folder - Transfer closed folders to the National Personnel Records Center 30 days after separation of employee. Dispose 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years.
- b. Left side of Folder - All correspondence and forms of a temporary nature in accordance with the Federal Personnel Manual - Dispose of upon separation or transfer of employee, except papers pertaining to disciplinary actions which may be disposed of after 3 years, or sooner upon official authorization.

722. Journals. These are copies of all notification of personnel action arranged chronologically and used for verification purposes.

Dispose when 2 years old.

723. Alphabetic Roster. This is a monthly alphabetic list of all employees served. It is used primarily to answer inquiries and verify certain actions.

Dispose of when superseded by next issue.

724. Change Edit Program. This is a printout showing rejected, erroneous, and missing data that is corrected or supplied to update an automated system.

Dispose when superseded.

725. Annual Geographic Distribution Report. This is an annual report which shows statistically the distribution of employees broken down by pay plan.

Dispose of when 2 years old.

726. Minority Report. This is a biennial report showing geographic distribution of employees by geographic location, sex, grade, series, and minority group. It is required by CSC.

Dispose when 3 years old.

727. Distribution of the Full-time Employees by Occupation. This shows geographic distribution of employees by pay plan and series.

Dispose when 2 years old.

728. Salary and Wage Distribution Report. This shows employee distribution by geographic area and pay plan.

Dispose when 2 years old.

729. Master File Display Program. This is a printout of all data stored in the computer on a given employee furnished on request for purposes of checking or verification of actions taken or needed.

Dispose when superseded.

730. Optional Retirement Program. This is a printout furnished by special request showing all employees eligible for optional retirement. It is used for planning purposes.

Dispose when superseded.

731. Organization Roster. This is a monthly and semi-annual listing of employees by organizational unit thereunder by grade. These are furnished to the requesting unit which uses them to resolve a variety of questions.

- a. Semi-annual listings - Dispose of when no longer needed for current business.
- b. Monthly listings - Dispose of when 1 year old.

732. Retention Register. Lists employee by name in order of job retention rights and is used in reductions of force.

Dispose when superseded, unless specific RIF notices are issued to employees. Dispose 1 year after date of specific notice.

733. Administrative Subject File. Consists of office copies of documents pertaining to such internal house-keeping matters as time and attendance, travel, budget, requisitions for supplies and services, and similar housekeeping activities.

Dispose of when 2 years old.

734. Separation File Display. This is a chronological listing of all personnel actions on each separated employee.

Dispose when 3 years old.

735. SF-113A Display. This is a CSC bi-monthly report of total paid employment.

Dispose when 1 month old.

736. Social Security Number Roster. This is a list all employees either in alphabetical or Social Security Number order.

Dispose when superseded.

737. TICKLE. This is a report to call attention to upcoming personnel actions for individual employees.

Dispose when 1 month old.

738. Whitten Review Report. This is an annual report showing employees by name, organization, grade, and position description number used to determine compliance with the amendment and submitted to CSC.

Dispose when 1 year old.

739. Work Force Table. This is a periodic report showing total number of employees by grade.

Dispose of after data has been incorporated into other Departmental statistics.

740. Privacy Act Request File. Copies of written requests from employees for access to files under the Privacy Act.

Dispose of when 1 year old.

#### Recruitment and Merit Promotion Branch

741. Merit Promotion Program File. File consists of documents pertaining to announcements of vacancies under the merit promotion program, related applications for employment received, and other papers concerning the filling of vacant positions in accordance with merit promotion procedures.

Dispose of 2 years after selection has been made.

742. Unsuccessful Job Applications. These are unsuccessful applications for employment and related papers not involving merit promotion vacancies.

Return to sender or dispose of when 6 months old, as appropriate.

743. Summer Employment Recruitment Papers. These are documents such as applications and related papers pertaining to the hiring of temporary summer employees, other than documents included in the Official Personnel Folder.

Dispose of after completion of the applicable summer employment period.

744. Junior Fellowship/Technician Program File. Copies of papers pertaining to each Junior Fellow or Technician from high school or college hired under this program to recruit disadvantaged students and give them training and job experience.

Dispose of 1 years after the individual has separated or failed to participate in the program.

745. Recruitment and Merit Promotion Program Subject File. Consists of general correspondence and related materials maintained by subject concerning methodology and procedures in carrying out the Department's recruiting and merit promotion programs.

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

746. Administrative Subject File. Consists of office copies of documents pertaining to such internal housekeeping activities as time and attendance, requisitions for supplies and services, budget, travel, and similar internal housekeeping activities.

Dispose of when 2 years old.

#### Classification and Position Management Branch

747. Classification Program Subject File. Consists of subject files documentation pertaining to position classification and position management activities such as annual Whitten Review, comments on proposed position classification standards, position survey methodology and procedures, relations with Civil Service Commission, periodic and special reports, and similar program matters of a non-case nature.

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

748. Position Classification Maintenance Review Audit Files. These are case files reflecting periodic classification audits of positions in the various Departmental organizations serviced by the Operations Division. Such maintenance audits are made on a 5-year cycle to cover all positions within the organizations concerned. Included also are the Annual Whitten Amendment Review reports for each year.

Retire closed cases on inactive positions to SHA 2 years after closure. Dispose of 4 years later.

749. Special Position Classification Audit Files. These are case files reflecting the conducting of position audits of a non-periodic nature which the office is required to make.

Retire closed cases on inactive positions to SHA 2 years after closure. Dispose of 4 years later.

750. Administrative Subject File. These are office copies of documents reflecting such internal house-keeping matters as time and attendance and travel, and other similar housekeeping activities.

Dispose of when 2 years old.

751. Chronological File. Consists of an extra copy of documents created or signed in the office, maintained by date.

Dispose of when 2 years old.

#### ALL OFFICES

Listed below are files that were found in many of the offices comprising the Office of the Secretary. To avoid repetition, these items are listed here, and the retention periods supplied have been included to insure adequate disposition coverage of the records concerned.

752. Office Copies of Department Directives. These are copies of Department directives that are kept in operating offices for policy and procedural guidance. The record copy of these and related directives is maintained in the Office of Organization and Management Systems. See Item Copies maintained in all other offices have no value after serving current operating needs.

Dispose of individual directives when revised or revoked.

753. Chrono, "Reading," "Tickler," or "Suspense" Files. Chronological files are only listed under the appropriate organizational unit in the body of the schedule. These files consist of a copy of all outgoing correspondence arranged in chronological order. They are used as a convenient reference or to flag a due date or some other action. This item covers all such files, wherever found in headquarters, except those specifically listed elsewhere.

Dispose when 1 year old.

754. Press Releases, Statements, Speeches and Testimonies. These are copies of the items specified in the title except those specifically listed under an appropriate organizational unit in the schedule. They are used as precedents and for other reference purposes. Record copies of these records are maintained as long as necessary in the Office of Public Affairs.

Dispose when 2 years old.

**HARD COPY**  
755. Reproducibles Files. These are copies of manuscripts (camera copy) paper, photographic, and other types of plates ~~used~~ used to reproduce multiple copies of documents for distribution. Small quantities of these are found in many units other than the Office of Publications.

Dispose when no longer needed for reprinting.

756. Personnel Applications Files. These are applications and related papers from persons seeking employment in the Office of the Secretary.

- a. Successful applicants - Send application to the Office of Personnel.
- b. Unsuccessful applicants - Return application to sender, if feasible. Otherwise, dispose of when 1 year old.

757. Time and Attendance Reporting Records. Records maintained by designated timekeepers pertaining to the bi-weekly reporting of time and attendance or leave of individual employees. Record copies of these documents are maintained by the Payroll Section of the Financial Operations Division.

Dispose when 2 years old.



OFFICE OF THE SECRETARY  
RECORDS CONTROL SCHEDULE

Listing of Permanent Records

<u>Item No.</u>	<u>File Title</u>	<u>Arrangement</u>	<u>Cubic Feet</u>	
			<u>Vol.</u>	<u>Accretion</u>
<u>SECRETARY OF COMMERCE</u>				
1.	Selected Subject File	(Alpha by subject)	6	2
2.	Cabinet File	(Alpha by committee)	2	1/2
<u>EXECUTIVE ASSISTANT TO THE SECRETARY</u>				
4.	Executive Subject File	(Alpha by subject)	4	2
<u>ASSISTANT TO THE SECRETARY</u>				
6.	Program Subject File	(Alpha by subject)	24	10
<u>PROTOCOL OFFICE</u>				
14.	Official Visit File	(Alpha by country)	1/2	0
<u>EXECUTIVE SECRETARIAT</u>				
17.	Secretariat Program Operations File	(Alpha by topic)	16	2
18.	Security Classified Subject File	(Alpha by subject)	4	1
<u>UNDER SECRETARY</u>				
20.	Program and Policy Direc- tion Subject File	(Alpha by subject)	6	3
<u>OFFICE OF REGIONAL AFFAIRS</u> <u>AND PROGRAM COORDINATION</u>				
22.	Deputy Under Secretary Program Subject File	(Alpha by subject)	20	10
<u>Office of Regional Economic Coordination</u>				
25.	Economic Development Subject File	(Alpha by subject)	10	3
26.	Plans and Reports	(Alpha by subject)	5	2

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<u>TASK FORCE ON WOMEN BUSINESS OWNERS</u>				
36.	Program Subject File	(Alpha by subject)	4	0
<u>TASK FORCE ON PRODUCT LIABILITY</u>				
40.	Task Force Program Subject File	(Alpha by subject)	4	1-1/2
<u>OFFICE OF PUBLIC AFFAIRS</u>				
53.	Secretary's Speech File	(Chronological)	4	2
55.	Administrative History	(By bureau)	4	0
<u>Print Media Division-Newsroom</u>				
58.	Speech File	(Alpha by speaker)	4	2
59.	Press Releases	(By bureau and number)	12	4
60.	Press Conference Tran- scripts	(Chronological)	2	1/2
61.	Photographic File of Senior Officials	(Alpha by name)	1	1/4
62.	Biographical File	(Alpha by name)	1	1/4
64.	Press Release Index	(Alpha by bureau)	1	1/4
66.	Former Officials His- tory File	(Alpha by name)	1/2	1/4
67.	News Digest	(Chronological)	2	1
<u>Publications Standards and Development Division</u>				
72.	Commerce Department Pub- lications Catalog, Index and Annual Supplements	(Chronological)	1	0
<u>Audio Visual Division</u>				
77.	Secretarial Audio Tapes	(Chronological)	3	1/2
78.	Audio Visual Program Subject File	(Alpha by subject)	2	1/2
<u>OFFICE OF THE GENERAL COUNSEL</u>				
83.	General Subject File	(Alpha by subject)	5	1
85.	Deputy General Counsel Legal Program Subject File	(Alpha by subject)	3-1/2	1-1/2

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<u>Task Force on Corporate Social Performance</u>				
87.	Task Force Subject File	(Alpha by subject)	2	1
<u>Asst. General Counsel for Administration</u>				
89.	Legal Subject File	(Alpha by subject)	20	<del>WITHDRAWN</del> 5
<u>Asst. General Counsel for Industry and Trade</u>				
93.	Industry and Trade Legal Subject File	(Alpha by subject)	4	1/2
94.	Export Control Legal File	(Alpha by subject)	3	1/2
<u>Asst. General Counsel for Science and Technology</u>				
98.	Program Subject File	(Alpha by subject)	8	<del>WITHDRAWN</del> 2
99.	Standards File	(Alpha by subject)	5	1
<u>Asst. General Counsel for Legislation</u>				
110.	Legislative Case File	(Numerical by Bill No.)	19	<del>WITHDRAWN</del> 6
111.	Legislative Case File Index	(By subject and number)	4	1/2
113.	Confirmation Hearings	(Alpha by name)	1	1/2
117.	Legislative Chronological File	(Chronological)	6	1/2
<u>ASSISTANT SECRETARY FOR INDUSTRY AND TRADE</u>				
123.	Correspondence Subject File	(Alpha by subject)	8	2
125.	Committee Files	(Alpha by committee)	3	1/2
<u>ASSISTANT SECRETARY FOR POLICY</u>				
131.	Policy Program Subject File	(Alpha by subject)	18	10
<u>Deputy Asst. Secretary for Domestic Policy Coordination</u>				
134.	Domestic Economic Policy Subject File	(Alpha by subject)	3	1

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<u>Office of Regulatory Economics and Policy</u>				
139.	Regulatory Reform File	(Alpha by subject)	5	3
143.	Regulatory Subject File	(Alpha by subject)	14	3
146.	Economic History File	(Chronological)	19	4
<u>Deputy Asst. Secretary for Oceans, Resources, and Scientific Policy Coordination</u>				
147.	Oceans, Resources, and Science Policy Subject File	(Alpha by subject)	5	2
148.	Oceans Policy Study	(Arranged by segment)	1	0
<u>Deputy Asst. Secretary for International Policy Coordination</u>				
155.	International Policy Subject File	(Alpha by subject)	3	2
<u>ASSISTANT SECRETARY FOR SCIENCE AND TECHNOLOGY</u>				
159.	Scientific and Technological File	(Alpha by subject)	30	3-1/2
160.	Federal Coordinating Council for Science, Engineering and Technology and Related Organizations	(By name of organization)	2	1/2
164.	Scrap Book	(Chronological)	1	1/2
166.	Scientific Operations File	(Alpha by subject)	1	1/2
<u>Commerce Technical Advisory Board (CTAB)</u>				
168.	CTAB Meeting File	(Chronological)	8	2
169.	CTAB Subject File	(Alpha by subject)	12	3
170.	CTAB Panel Papers	(Alpha by name)	9	2
171.	CTAB Membership List	(Chronological)	1/2	1/4
<u>Office of Environmental Affairs</u>				
172.	Environmental Subject File	(Alpha by subject)	12	3

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<u>Office of Product Standards</u>				
176.	Product Standards Program Subject File	(Alpha by subject)	31	3
182.	Interagency Committee on Standards Policy	(Chronological)	2	1/2
<u>CHIEF ECONOMIST</u>				
185.	Economic Subject File	(Alpha by subject)	17	3
187.	Interdepartmental Operating File	(Alpha by subject)	1	1/2
<u>Office of Economic Affairs</u>				
189a.	Committee File	(Alpha by committee)	1	0
<u>Office of Industrial Economics</u>				
195.	Industrial Projects and Study File	(By study)	2	1
197.	National Industrial Pollution Control Council	(Alpha by subject)	25	0
<u>Office of Federal Statistical Policy and Standards</u>				
198.	Director's Program Subject File	(Alpha by subject)	12	4
201.	Deputy Director Economic Statistics Subject File	(Alpha by subject)	3	1
202.	Deputy Director Social Statistics Subject File	(Alpha by subject)	4	1/2
<u>ASSISTANT SECRETARY FOR ADMINISTRATION</u>				
204.	Policy and Management File	(Alpha by subject)	15	4
<u>APPEALS BOARD</u>				
211.	Adminis. Conference of the U.S. and Other Conferences	(By conference)	2	1/2
212.	Operating Papers of Board	(Alpha by subject)	2	1/2

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<u>OFFICE OF ADMINISTRATIVE SERVICES AND PROCUREMENT</u>				
213.	Director's Administrative Management File	(Alpha by subject)	15	3
	<u>Property and Buildings Management Division</u>			
233.	Commerce Building Photo File	(Arranged by plan)	3	0
293a.	<i>Library Div Admin Subject Files</i> Records Management Division		2	0
<del>298.</del>	<del>Records Disposition File</del>	<del>(Alpha by office)</del>	<del>6</del>	<del>1/2</del>
		<i>(changed to Temporary)</i>		
299.	Forms History File	(Numerical)	12	2-1/2
	<u>Deputy Director for Program Development</u>			
309a.	Dept. of Commerce Procurement Regulations	(Numerical)	1/2	0
310a.	Dept. of Commerce Property Management Regulations	(Numerical)	1/2	0
311.	Federal Acquisition Institute File	(Chronological)	2	1
	<u>Contract Administration Division</u>			
331.	Contract Inventions Committee	(Chronological)	1	1/2
<u>OFFICE OF AUDITS</u>				
368.	Director's Organizational Audit Correspondence	(Alpha by organization)	6	1
369.	Director's General Correspondence	(Alpha by subject)	12	1
<u>OFFICE OF BUDGET AND PROGRAM EVALUATION</u>				
383.	Director's Subject File	(Alpha by subject)	11	2
384.	Budget Preparation File	(By year)	12	3
<u>OFFICE OF THE CONTROLLER</u>				
418.	Controller's Subject File	(Alpha by subject)	2	1/2

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<u>OFFICE OF ORGANIZATION AND MANAGEMENT SYSTEMS</u>				
570.	Management Policy Sub- ject File	(Alpha by subject)	12	2
<sup>2,68</sup> 575c.	Business Council Records	(Alpha by subject)	8	0
<u>Information Management Division</u>				
578a.	Privacy Act Report File	(By year)	1/2	0
582a.	Freedom of Information Report File	(By year)	1/2	0
<u>Emergency Planning and Coordinating Division</u>				
587.	Emergency Readiness Com- mittee Papers	(By committee)	3	1/2
589.	Department Directives Case Files	(By number)	23	2-1/2
<u>OFFICE OF PUBLICATIONS</u>				
595.	Photonegative File	(By number)	6	1
<u>OFFICE OF PERSONNEL</u>				
<u>Office of the Director</u>				
<del>630.</del>	<del>Committee File</del> <sup>(Changed to Temporary)</sup> (Alpha by committee)		<del>2-1/2</del>	<del>1/2</del>
632.	Presidential Appoint- ments and Biographi- cal File	(Alpha by name)	1-1/2	1/4
<u>Program Evaluations and Systems Division</u>				
651.	Monthly Report of Fed- eral Employment	(Chronological)	1-1/2	1/4
<u>Classification and Executive Assignments Division</u>				
694.	Reports and Statistics File	(Chronological)	1-1/2	1/4