

RECORDS CONTROL SCHEDULE

FEBRUARY 1980



U.S. DEPARTMENT OF COMMERCE
Economic Development Administration
Office of Management and Administration
Management Analysis Division
Records Management Officer



MAY 15 1981

MEMORANDUM FOR: Holders of February 1980
EDA Records Control Schedule

From: Lorin L. Goodrich, Director, Office of
Management and Administration

Subject: Transmittal of 1981 Revision to EDA
Records Control Schedule

The attached pages revise the February 1980 edition of the EDA Records Control Schedule. The revision was needed to bring the Schedule up-to-date to reflect the changes to the organization and records of EDA resulting from the 1979 and 1980 reorganizations. Because of our emphasis on the removal of inactive records from our offices at this time, we want all offices to have the most current information on records to be available to guide them in this records disposition program.

Please, therefore, remove the below listed pages from the 1980 edition of the Records Control Schedule, and replace them as directed with the attached 1981 revised pages. All new pages have "1981 Rev." indicated on them to identify this revision. The Schedule is in loose leaf format to facilitate such revisions.

1980 Edition of Schedule
Pages To Be Removed

1981 Revised New Pages
To Be Inserted in Schedule

Contents (4 pages)

Contents (4 pages)

Introduction-pages i-x

Introduction-pages i-x

Introduction-pages xxi-xxiv

Introduction-pages xxi-xxiv

Pages

Main Body of Schedule

Pages

5-6..

5-6

13-24

13-24

31-32

31-32

45-52

45-52

61-140

61-140

157-160

157-160

Add - New 1981 ADDENDUM at back of Manual

167-170

While disposition of most of the items of the Records Control Schedule will continue to be authorized by National Archives Job Number NC1-378-79-2, disposition of the few new items of the 1981 revisions is authorized by a new National Archives Job Number NC1-378-81-1. The new job number is shown after each of the revised items of the Schedule to which it applies.

FOREWORD

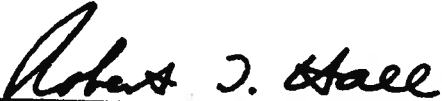
This Records Control Schedule provides EDA with the means to achieve economical and efficient use of records space and equipment as well as to comply with the laws governing the disposition of U. S. Government records.

The Schedule controls the retention of records in office space and the retirement to storage and disposal of inactive records by providing an authorized retention period for each separately maintained file in EDA.

EDA will protect the interests of both the Government and the public by applying the Schedule in a systematic and continuing manner, and by keeping the EDA Records Management Officer informed of needed changes to it as they occur.

This 1980 edition of the Schedule completely obsoletes and replaces the November 1972 edition of the EDA Records Control Schedule which no longer remains in force and effect.

All EDA employees should familiarize themselves with the portion of this 1980 Schedule that deals with their records and regularly carry out its provisions.


Assistant Secretary for
Economic Development

CONTENTS

| | <u>Page</u> |
|--|-------------|
| INTRODUCTION..... | i-xxvi |
| AUTHORITY-HISTORY..... | 1 |
| OFFICE OF THE ASSISTANT SECRETARY FOR ECONOMIC DEVELOPMENT..... | 6 |
| Executive Secretariat..... | 6 |
| Office of Special Projects..... | 9 |
| OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR ECONOMIC DEVELOPMENT..... | 11 |
| Special Assistant..... | 13 |
| Special Assistant for the Environment..... | 13 |
| Office of Operational Planning and Control..... | 15 |
| <i>(Formerly Special Assistant for Field Operations)</i> | |
| Indian Program Staff..... | 15 |
| <i>(See also Addendum, Page 167)</i> | |
| <i>(Investigations and Inspection Staff - Transferred to the Office of the Inspector General 1-11-79)</i> | 17 |
| OFFICE OF MANAGEMENT AND ADMINISTRATION..... | 19 |
| <i>(Formerly OFFICE OF ADMINISTRATION AND PROGRAM ANALYSIS)</i> | |
| Office of the Director..... | 19 |
| Accounting Division..... | 20 |
| Office of the Chief..... | 20 |
| Program Accounting, Grants and Contracts Branch..... | 21 |
| <i>(Formerly Program Accounting Branch)</i> | |
| Loans Branch..... | 24 |
| Program Accounting Printouts..... | 26 |
| Administrative Accounting and Reports..... | 32 |
| <i>(Formerly Administrative Branch)</i> | |
| Reports..... | 38 |
| Budget Division..... | 40 |
| Information Systems and Services Division..... | 41 |
| Personnel Management Division <i>(See pages 205-231 of the Office of the Secretary Records Control Schedule, NC1-40-79-1, for disposal authorizations)</i> | 48 |
| Management Analysis Division..... | 49 |
| Office Services Division..... | 52 |
| OFFICE OF POLICY EVALUATION AND RESEARCH, Program Evaluation Division..... | 52 |
| <i>(Formerly OFFICE OF ADMINISTRATION AND PROGRAM ANALYSIS, Program Analysis Division)</i> | |
| <i>(See also page 71 for Policy Development and Coordination Division and page 93 for Research Division of OFFICE OF POLICY EVALUATION AND RESEARCH)</i> | |

| | <u>Page</u> |
|---|-------------|
| OFFICE OF THE CHIEF COUNSEL..... | 54 |
| Assistant Chief Counsel for Field Operations..... | 55 |
| Assistant Chief Counsel for Litigation and Liquidation..... | 55 |
| Assistant Chief Counsel for Administration and Legislation..... | 57 |
| OFFICE OF PUBLIC AFFAIRS..... | 58 |
| Publication Division..... | 60 |
| <i>(See also Addendum, page 167)</i> | |
| OFFICE OF CONGRESSIONAL RELATIONS..... | 62 |
| OFFICE OF CIVIL RIGHTS..... | 64 |
| DEPUTY ASSISTANT SECRETARY FOR ECONOMIC DEVELOPMENT POLICY AND PLANNING..... | 67 |
| OFFICE OF POLICY EVALUATION AND RESEARCH, Policy Development and Coordination Division..... | 71 |
| <i>(Formerly OFFICE OF POLICY DEVELOPMENT AND COORDINATION)</i> | |
| <i>(See Also page 52 for Program Evaluation Division and page 93 for Research Division of the OFFICE OF POLICY EVALUATION AND RESEARCH)</i> | |
| OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING.... | 75 |
| <i>(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS and OFFICE OF PLANNING AND PROGRAM SUPPORT)</i> | |
| District Program Management Division..... | 77 |
| <i>(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS, Program Support Division)</i> | |
| Program Development Division..... | 80 |
| <i>(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS, Program Development Division)</i> | |
| OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES, Qualifications Division..... | 83 |
| <i>(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS, Qualifications Division)</i> | |
| OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES..... | 85 |
| <i>(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT and OFFICE OF DEVELOPMENT ORGANIZATIONS)</i> | |
| Industry Studies Division..... | 87 |
| <i>(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT, Industry Studies Division)</i> | |
| OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING, State and Urban Program Management Division..... | 89 |
| <i>(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT, Program Planning Division)</i> | |

| | <u>Page</u> |
|--|-------------|
| OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES, Trade Act Certification Division..... | 91 |
| <i>(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT, Trade Act Certification Division)</i> | |
| OFFICE OF POLICY EVALUATION AND RESEARCH, Research Division..... | 93 |
| <i>(Formerly OFFICE OF ECONOMIC RESEARCH)</i> | |
| <i>(See Also page 52 for Program Evaluation Division and page 71 for Policy Development and Coordination Division, OFFICE OF POLICY EVALUATION AND RESEARCH, and ADDENDUM, page 167)</i> | |
| DEPUTY ASSISTANT SECRETARY FOR ECONOMIC DEVELOPMENT OPERATIONS..... | 98 |
| Office of the Deputy Assistant Secretary..... | 99 |
| OFFICE OF SPECIAL ADJUSTMENT ASSISTANCE..... | 101 |
| <i>(Formerly Title IX Program)</i> | |
| OFFICE OF PROGRAM OPERATIONS..... | 104 |
| <i>(Formerly Comprehensive Economic Development Strategy Group)</i> | |
| Administrative Support Division..... | 105 |
| <i>(See Also ADDENDUM, page 167)</i> | |
| OFFICE OF PUBLIC INVESTMENTS..... | 106 |
| <i>(Formerly OFFICE OF PUBLIC WORKS)</i> | |
| Office of the Director..... | 106 |
| Financial and Loan Management Staff..... | 109 |
| Public Works Division..... | 110 |
| <i>(Formerly Policy and Program Development Division)</i> | |
| Computer Printouts..... | 116 |
| Project Management Division..... | 118 |
| Long Term Economic Deterioration Division..... | 120 |
| <i>(See Also ADDENDUM, page 167)</i> | |
| LOCAL PUBLIC WORKS PROGRAM..... | 120 |
| OFFICE OF DEPUTY ASSISTANT SECRETARY FOR DEVELOPMENT FINANCE..... | 125 |
| <i>(Formerly OFFICE OF PRIVATE SECTOR INVESTMENTS)</i> | |
| OFFICE OF DEVELOPMENT FINANCE MANAGEMENT..... | 127 |
| Office of the Director..... | 129 |
| Program Development Division..... | 129 |
| <i>(Formerly Development Finance Policy Division)</i> | |
| Program Coordination Division..... | 130 |
| <i>(Formerly Development Finance Administration Division)</i> | |
| OFFICE OF PORTFOLIO ADMINISTRATION..... | 130b |

| | <u>Page</u> |
|---|-------------|
| OFFICE OF DEVELOPMENT FINANCE PROJECTS..... | 130e |
| Office of the Director..... | 130f |
| Project Review Division..... | 130g |
| OFFICE OF TECHNICAL ASSISTANCE..... | 131 |
| Office of the Director..... | 131 |
| Policy and Program Development Division..... | 134a |
| <i>(Formerly Industry and Resources Division)</i> | |
| Institutional Investments Division..... | 135 |
| <i>(Formerly Urban Division)</i> | |
| Trade and Industry Assistance Division..... | 136 |
| <i>(Formerly Human Resources and Productivity Division)</i> | |
| ALL HEADQUARTERS UNITS..... | 138 |
| ALL REGIONAL OFFICES..... | 140 |
| Executive Director..... | 140 |
| Administration..... | 142 |
| Civil Rights..... | 144 |
| Legal Papers..... | 144 |
| Environmental Records..... | 145 |
| Program Support Records..... | 146 |
| Planning Records..... | 148 |
| Public Works Records..... | 149 |
| Local Public Works Program Records..... | 152 |
| Community Emergency Drought Relief Program Records | 154 |
| Title IX Program Records..... | 155 |
| Business Development Records..... | 156 |
| Technical Assistance Records..... | 158 |
| Human Resources Records..... | 159 |
| Computer Printouts..... | 160 |
| ADDENDUM..... | 167 |

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

| | | |
|---|--|---|
| TO: GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408 | | LEAVE BLANK |
| 1. FROM (AGENCY OR ESTABLISHMENT) Department of Commerce | | JOB NO NC1-378-79-2 (NC 1-378-79-1) |
| 2. MAJOR SUBDIVISION Economic Development Administration | | DATE RECEIVED 4 December 1978 |
| 3. MINOR SUBDIVISION | | NOTIFICATION TO AGENCY |
| 4. NAME OF PERSON WITH WHOM TO CONFER Ivy V. Parr | | 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. <i>12-20-79</i> <i>Jane P. O'Neil</i> Date Acting Archivist of the United States |
| 5. TEL. EXT. 377-3630 | | |

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 166 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 11-15-78 | D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ivy V. Parr</i> | E. TITLE Departmental Records Mgmt. Officer |
|----------------------------|---|---|

| 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>ECONOMIC DEVELOPMENT ADMINISTRATION (EDA)</u></p> <p>Mission. The Assistant Secretary for Economic Development heads the Economic Development Administration, the primary mission of which is to help create jobs and increase incomes in economically lagging areas. These can consist of states, multicounty districts, and local communities. The Administration provides financial, planning, and technical assistance to encourage long-range industrial growth in these areas. It also studies the causes and effects of persistent and substantial unemployment and is authorized to make grants for the creation of jobs through construction of public facilities.</p> <p>The Assistant Secretary advises the Secretary on economic development activities of states, multicounty districts and local communities. He also represents the Department and the Federal Government in developing and coordinating programs to support industrial and commercial growth in economically lagging areas.</p> | | |

History. The Economic Development Administration was established in the Department of Commerce on September 1, 1965, under provisions of the Public Works and Economic Development Act which was passed the same year.

The goal of the Act is to create permanent new jobs and new income through industrial and commercial growth in economically lagging areas. It accepts the fact that the development of these areas will not be accomplished overnight, or achieved by Federal financial aid alone. It recognizes, however, that the underpinning of economic growth is sound, comprehensive planning developed through the cooperative effort of governments at all levels. It also recognizes that the planning and building of public facilities must lead to action by private enterprise to create permanent job opportunities.

The Economic Development Administration succeeded the Department's old Area Redevelopment Administration, which was established on May 1, 1961, as a pilot program to help ease local conditions of chronic unemployment and underemployment.

While establishing the fact that a modest amount of Federal aid to a depressed area can make a significant contribution toward creating job opportunities, the old programs' experience pointed to the need for a broader approach to economic development, applicable to areas larger than a single city or county.

When EDA was established in 1965, Congress expanded the Federal economic development effort by authorizing the formation of multicounty Economic Development Districts. EDA's district program operates on the assumption that many economic problems can be effectively addressed only through regional approaches which are designed to alleviate conditions of high unemployment and low income.

As of September 30, 1977, EDA had designated or funded 211 operating Economic Development Districts with a total of 1,604 member-counties. The program spans both redevelopment areas and economically healthy areas. All local government members share in the planning program of the districts.

Also within the districts were 330 growth centers -- urban areas with an average population of 20,000 and with facilities capable of attracting industry and creating jobs for rural workers.

The districts operate by pooling the resources and talents of their local government members, enabling localities to work in partnership to attack conditions blocking economic growth on a broad, areawide basis.

The Public Works and Economic Development Act equipped the Administration with financial assistance programs to enable the agency to provide grants and loans for public works and development facilities; business development assistance; and grants for planning, technical assistance, and research to help overcome problems blocking growth.

Program Highlights. Historically, EDA has been a modestly financed Federal agency concerned primarily with the serious and chronic problems of poverty, out-migration, and underemployment in the Nation's rural areas. Over some dozen years, EDA responded to this mandate by providing more than 3,000 public works grants and loans, hundreds of loans and loan guarantees to private firms, and thousands of technical assistance grants. These investments encompassed a variety of activities undertaken in widely divergent economic situations.

In FY 1977, however, EDA was mandated to carry out much more extensive and far-reaching programs than had previously been envisaged in its economic development efforts.

The first such mandate, in terms of its magnitude, was to administer the \$6 billion Local Public Works Program (LPW), Rounds I and II. The \$4 billion Round II effort was one of the major elements of President Carter's initiative to stimulate the national economy, generate employment, and enable communities across the Nation to construct needed public facilities.

EDA also was called upon by the President and Congress to administer the \$175 million Community Emergency Drought Program. EDA approved and allocated funds for 268 projects in a period of just four months.

Lastly, in FY 1977, EDA was engaged more deeply and broadly in urban economic development -- while maintaining its commitment to rural development. It should be pointed out that EDA has not been exactly a newcomer to urban problems; over the years, the agency has invested more than \$500 million in targeted urban economic development. But there would appear to be little doubt that EDA's responsibilities in the urban area should become increasingly greater.

Specifically, the following highlights of the FY 1977 EDA program will serve to illustrate the scope and magnitude of EDA activities:

- * 10,617 grants approved under the \$6 billion Local Public Works program to create 425,000 jobs (person-years of employment) through the construction of capital facilities for:
 - Cities and towns
 - Counties
 - States
 - School districts
 - Special purpose authorities
 - Indian tribes and communities
- * 257 grants for \$166.5 million approved to help local communities build the the infrastructure needed to encourage private enterprise to expand and create jobs
- * 49 grants approved for \$76.5 million to help develop and implement economic adjustment strategies
- * A \$58-million business development loan program helped 68 firms create and/or save 14,796 jobs
 - Includes \$24 million in loans and loan guarantees to help businesses adversely affected by foreign imports
- * \$175 million in loans and grants approved for 268 drought relief projects in 29 states and Puerto Rico

- * \$38 million provided for planning, technical assistance and research in support of job-generating economic development
- * \$223 million approved for 611 projects requested by Indian tribes and organizations

Binder. This schedule is presented in a format reflecting the organization of the EDA as stated in Department Organization Order 45-1, effective October 1, 1977 and modified by the reorganization effective as of January 11, 1979, as amended. However, a change of title or organizational location of any unit or any reorganization shall have no effect on its provisions as long as the files described herein continue to accumulate and serve the same purpose.

The provisions of the General Records Schedules issued by the General Services Administration are hereby superseded, since this EDA schedule includes all general and house-keeping records that are currently accumulating in EDA and that are also documented by records of the Office of the Secretary.

This Records Control Schedule is thus the sole authority for the legal disposition of any and all EDA records. It completely replaces the previously obsoleted Records Control Schedule that had been issued as of November 1972.

OFFICE OF THE ASSISTANT SECRETARY
FOR ECONOMIC DEVELOPMENT

The Assistant Secretary directs the programs and is responsible for the conduct of all activities, including overall direction and coordination of the Regional Offices, of EDA subject to the policies and directives prescribed by the Secretary of Commerce.

1. Assistant Secretary Program Subject File. The file consists of subject-filed copies of materials signed by the Assistant Secretary or prepared by him in providing executive direction for the EDA programs. It reflects basic policies and decisions made in administering the Administration. Arranged alphabetically by subject.

Permanent. Retire to Staging and Holding Area (SHA) when there is a change of Assistant Secretary. Transfer to Washington National Records Center (WNRC) 2 years later. Offer for transfer to the National Archives 20 years thereafter.

2. Chronological File of the Assistant Secretary. The file contains a chronologically arranged copy of documents prepared by the Assistant Secretary in administering the EDA programs.

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

Executive Secretariat

The Executive Secretariat is responsible for the following tasks:

- o Receive correspondence addressed to the Assistant Secretary, all mail addressed to EDA officials from the White House or Congressional offices and all telegrams;

- o Assign action on all of the above to appropriate EDA officials;
- o Record controlled and non-controlled correspondence, and provide information copies to EDA officials;
- o Maintain prompt follow-up of replies to controlled correspondence to insure that deadlines are met;
- o Review signature mail before signature by Assistant Secretary, Deputy Assistant Secretary and Special Assistants to the Assistant Secretary;
- o Provide a reference service to files as requested by EDA officials and maintain appropriate correspondence and policy files;
- o Provide liaison with the Department on Secretarial correspondence; and
- o Control, review, record, and process all projects-- Technical Assistance, Public Works, Business Loans, Planning Grants, including amendments.

3. Committees and Boards File. This alphabetically arranged file represents the centralized EDA documentation pertaining to boards, committees, or commissions typically involving the top echelon officials of EDA. As pertinent, these files on a committee or other group include membership information, agendas, materials on establishment of the group, and reports and recommendations, and the like.

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

4. Secretariat Program Operations File. This file reflects the EDA top echelon officials' involvement in implementing the various economic development programs of EDA. It documents the interrelationships of the top EDA officials in dealing with major problems and policy decisions, as well as the relations of such top EDA officials with their counterparts at the Department-level. It also concerns the documentation of selected policy decisions and other activities considered to be of unusual importance to the EDA program. The file is divided into three segments as follows: a collection of selected documents maintained

under a subjective arrangement to facilitate reference; correspondence and other records filed alphabetically by the names of the top EDA staff officials; and correspondence and other records filed alphabetically by the names of top officials of the Department.

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

5. General Correspondence File. This file of correspondence, maintained alphabetically by name of addressee, covers general or miscellaneous types of actions, typically of a non-policy nature, documented by the Secretariat. Copies of correspondence considered to be of documentation significance would be included in the subjective segment of the Secretariat Program Operations File.

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

6. Other Government Agencies File. This file consists of correspondence with other government agencies, typically of a non-policy nature, filed alphabetically by name of agency. Copies of correspondence considered to be of documentation significance would be included in the Secretariat Program Operations File.

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

7. Congressional Correspondence File. This file consists of correspondence with Congress, typically of a non-policy nature, filed alphabetically by name of Senator or Congressman. Much of the file concern routine constituent requests forwarded by the Congressmen. Documentation concerning any specific projects would be included in the project case folder, while non-project documentation considered of significance could be included in the Secretariat Program Operations File.

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

8. Project Correspondence. Duplicate copies of documents on the designation of various localities as qualified economic development areas, approval of guarantee agreements covering certain types of loans, approval of research studies, technical assistance letters, and similar authorizations. A record copy of these documents is filed in the appropriate case file.

Dispose when 1 year old.

9. Employment Correspondence. This file consists of incoming and outgoing correspondence with people seeking positions in the Administration.

Dispose when 1 year old.

10. Alphabetical Mail Control Card File. This alphabetically arranged mail control card file, arranged by names of persons or institutions, serves as the only index available within EDA to controlled important correspondence maintained by the Executive Secretariat. Cross-reference cards are included for persons mentioned in the controlled correspondence, and each card shows the file in the Secretariat into which the completed document was placed.

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

11. Numerical Mail Control Card File (Gold Copy). The gold copy of the interleaved carbon mail control card serves as the tracer for controlled correspondence. It is filed numerically.

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

OFFICE OF SPECIAL PROJECTS

The Office of Special Projects shall serve as a principal staff office of the Assistant Secretary. The Office shall provide advice, direction and coordination for the develop-

ment and implementation of selected innovative economic development programs and projects to assist selected urban areas, special areas such as the Mexican-American border and Puerto Rico, and special groups identified by the Assistant Secretary. In accomplishing these functions the Office shall develop necessary implementation plans, strategies, and procedures and coordinate, as appropriate, with other Federal, State, and local organizations. The Office shall be headed by a director who shall report and be responsible to the Assistant Secretary.

12. Special Projects Program Subject File. The file reflects the special assignments of this staff office of the Assistant Secretary for Economic Development covering mainly coordination and oversight of projects involving the problems of underprivileged urban dwellers and various minorities. Included are such alphabetically arranged subjects as Council on Urban Economic Development, Community Development Corporation, Special Impact Areas, Community Services Administration, Ten Percent Minority Business Enterprise, Urban Institutes, and Regional Offices (General Correspondence).

Start a new file every calendar year and bring forward active material from the cut-off file.
Retire to SHA 2 years later. Transfer to WNRC
1 year thereafter. Dispose of when 15 years old.

13. Administrative Subject File. This file consists of office copies of administrative papers, alphabetically arranged by subject, pertaining to internal housekeeping matters such as time and attendance, procurement, budget, personnel, and other administrative matters.

- a. Applications for employment - Send successful applications to the Office of Personnel.
Return unsuccessful applications to the sender.
- b. All other records - Start a new file every 2 years and dispose when 2 years old.

14. Chronological File. The file consists of a convenience copy of all documents prepared in the Office arranged by date.

Dispose when 3 years old.

15. Project Files. The file of regionally arranged project folders consists of the case folders pertaining to the special urban and minority related projects carried out in EDA regions and which the Office coordinates and monitors. The folders include project proposals, copies of project reports and recommendations, background materials, budget materials, and correspondence pertaining to headquarters-regional relationships. Record copies of these project materials are maintained in Regional Offices.

Retire closed projects to SHA 1 year after closure. Transfer to WNRC 1 year later. Dispose of 10 years after closure.

16. Withdrawn or Denied Projects. These files consist of proposals and related correspondence for projects that are not acted upon.

Dispose of when 2 years old.

17. Policy Council File. The file consists of convenience copies of agendas and minutes of meetings of the EDA Policy Council. This Council, consisting of the top administrators and officials of EDA, meets weekly to develop policies and decide on important matters involving EDA programs. The record copy of the file is maintained by the Deputy Assistant Secretary for Policy and Planning.

Dispose of when 2 years old.

18. Technical Workpaper Files. These files consists of convenience copies of projects and other materials maintained by program officers of the Office for use in a day-to-day operations.

Dispose of when no longer needed for current business.

OFFICE OF THE DEPUTY ASSISTANT SECRETARY
FOR ECONOMIC DEVELOPMENT

The Deputy Assistant Secretary shall serve as Executive Secretary and provide or arrange for staff support, as required, for the National Public Advisory Committee on

Regional Economic Development; represent the Administration on international organizations when so designated; supervise the activities of the Investigations and Inspections Staff, the Indian Program Staff, and of the Special Assistant, the Special Assistant for Field Operations and the Special Assistant for the Environment; assist the Assistant Secretary in all matters affecting EDA; and perform the duties of the Assistant Secretary during the latter's absence.

19. Deputy Assistant Secretary (DAS) Program File. This file contains documentation reflecting the executive direction of EDA as assigned to the Deputy Assistant Secretary, copies of communications prepared and/or signed by the Deputy Assistant Secretary. It includes such headings as Operational Planning and Control System Task Force, National Public Advisory Committee, National Urban and Rural Development Banks, Regional Offices, Proposed 10-City Demonstration, Drought, Steel Industry, and White House Conference on Balanced Growth. Arranged alphabetically by topics.

Permanent. Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

20. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, space, requisitions for services, and similar housekeeping activities.

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

21. Chronological File. The file consists of an extra copy, filed by date, of documents prepared by the Deputy Assistant Secretary.

Dispose when 5 years old.

Special Assistant to the Deputy Assistant
Secretary for Economic Development

The Special Assistant to the Deputy Assistant Secretary for Economic Development performs such tasks as the Deputy Assistant Secretary may assign.

22. Special Assistant to the DAS Program File. Papers reflecting the various assignments given the Special Assistant by the Deputy Assistant Secretary in administering EDA programs. Headings of the alphabetically arranged file include Age and Sex Discrimination, Drought, Equal Employment Opportunities, 10% Minority Business Enterprises, Regional Offices, Steel, Technical Assistance, and Trade Adjustment Assistance.

Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 10 years old.

23. Chronological File. The file consists of a chronologically filed copy of documents by the Special Assistant.

Dispose of when 2 years old.

24. Administrative Subject Files. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

Special Assistant for the Environment

The Special Assistant for the Environment is responsible for the overview and monitoring of EDA actions implemented in the Regions to assure compliance with legislation on environmental matters in carrying out EDA projects, such as Public Works or other projects.

25. Environmental Subject File. This file reflects the overviewing or monitoring activities of the Office in coordinating the environmental requirement aspects of EDA

projects carried out in the Regions. Typical headings of the file include: Environmental Directives, Clean Air-Water Act, Legislation, National Environmental Policy Act, Regional Offices, Advisory Council on Historic Preservation, Meetings, and Organizations.

Break file every 2 years and bring forward active files. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 10 years old.

26. Case Files on Environmental Compliance. In accordance with environmental legislation and regulations, proposed EDA projects are evaluated in terms of their compliance with such legislation. Typically, environmental assessment statements are prepared at the regional level, and, for certain projects, a full environmental impact statement may be prepared. For projects involving Section 106 of the Historical Preservation Act, special statements are made as to the propriety of making various loans or grants concerning historic properties. In special cases, the Office of the Special Assistant for the Environment may prepare the environmental statements.

The file consists of the various environmental statements which have been maintained by the Special Assistant, arranged by state and by project thereunder. The file is duplicated in EDA project files and in other files pertaining to the environment maintained by the Department.

Retire to SHA when 2 years old. Transfer to WNRC 1 year thereafter. Dispose of when 5 years old.

27. Administrative Subject File. These are office papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

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

28. Chronological File. The file consists of an extra copy of documents prepared in the Office of the Special Assistant for the Environment.

Dispose of when 2 years old.

Office of Operational Planning and Control
(Formerly *Special Assistant for Field Operations*)

The Office of Operational Planning and Control shall manage and coordinate the linkage between headquarters in Washington and the Regional Offices. It shall oversee the implementation, administration, management, evolution and further development of the Operational Planning and Control System (OPCS). It shall also function as a central point of information and reference for substantive communication between EDA headquarters and the Regional Offices; and shall serve as an advocate and point of contact to identify the information and policy needs of the Regional Offices and shall coordinate headquarters initiatives which impose a significant burden on regional personnel and financial resources. The Office shall also manage and oversee the process for allocating funds to the Regional Offices.

29. Operational Planning and Control Program Files. Papers reflecting the coordination and review activities of the office in the administration of the field operations of EDA. Headings of this alphabetically arranged file include: Economic Development Representatives Activity Reports, Economic Development Representatives Field Logs, Briefing Materials, Economic Adjustment Committee/DOD, Federal Assistance, National Organizations, Regional Offices, and Washington Task Force.

Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose of when 10 years old.

30. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar house-keeping activities.

Dispose of when 2 years old.

31. Reading File. The file consists of an alphabetically filed copy of documents prepared by the office, and serves as an index to the operations program file above.

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

Indian Program Staff

The Indian Program Staff administers the Indian economic development program and advises the Deputy Assistant Secretary concerning its general effectiveness. It recom-

mends approval or denial of projects proposed for Indian areas except all projects under Sections 101 and 201 of the Act which do not require special action; and negotiates and monitors interagency agreements relating to Indian economic development. (Projects requiring special action are those which are called to Washington for purposes of monitoring, involve controversial aspects, or -- for example -- require an environmental impact statement which must be approved by the Special Assistant for Environmental Affairs.)

32. Indian Reservations File. This file contains information on Indian reservations eligible under the EDA program. It is used for reference purposes, and for each reservation covered consists of a folder for correspondence, for background materials, and for project related materials.

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

33. State File. Materials of transitory value pertaining to the EDA programs as they affect Indians, arranged by state. The bulk of the papers relate to transactions with various states that are not connected with any particular reservation.

Start a new file every 2 years. Retire to SHA 1 year later. Transfer to WNRC and dispose of when 5 years old.

34. Indian Program Operations File. This file reflects the coordination, review, and monitoring activities of the office in administering the Indian economic development program and advising the Deputy Assistant Secretary concerning its effectiveness. It is arranged alphabetically by topics. Typical headings include Federal Agencies, EDA Organizations, Indian Organizations, Indian Program-General, Indian Courses-Seminars, Indian Shows-Exhibits, Indian Directives, and Program Establishment.

Break file every 3 years and bring forward active materials, as needed. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose of when 16 years old.

35. Economic Development Planning Grant File. This file is a working case file for review and monitoring purposes of planning grants made to Indians. It is arranged by regions, states, tribal grantee thereunder. The record copy of such grant cases is maintained in the Office of Development Organizations and Planning.

Dispose of 2 years after closure.

36. Public Works Project Summaries File. This working file of selected project records involving Indians is maintained for purposes of reviewing project proposals. Arranged by state and by tribe thereunder.

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

37. Administrative Subject File. These are office copies of papers pertaining to time and attendance, travel, personnel, budget, requisitions for services, and similar housekeeping activities.

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

38. Chronological File. The file consists of an extra copy of documents prepared in the Indian Program Staff.

Dispose of when 2 years old.

38a. Promotional Audio-visual Records, Indian Program
(See addendum page 167 for Item 38a)

Investigations and Inspections Staff (Inactive)

The Investigations and Inspections Staff investigates alleged violations of law or other impropriety on the part of applications or recipients; conducts inspections relating to the conduct and performance of field personnel and reviews the suitability of applicants for financial assistance. The Staff also conducts special investigations requested by the Assistant Secretary, as well as inspections to assure the physical security of all EDA

offices. The office is not responsible for maintaining documentation on employee personnel clearances, which is a responsibility of the Office of the Secretary. This function was transferred to the Office of the Inspector General as of January 11, 1979, by DOO 45-1.

39. Application Investigations Index. This is an index to individuals, companies and contractors related in some way to an EDA program project maintained for purposes of preventing violations of the law and to insure that appropriate action is taken in case there is such a violation.

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

40. Current Employees Inspection Cases. Documentation of employees job performance, effectiveness, conduct, and integrity on the job.

- a. Close case upon completion of an inspection and move to a separate file.
- b. Retire closed cases involving adverse findings to SHA every 3 years and transfer to WNRC 1 year later. Dispose when 10 years old.
- c. Dispose of closed cases involving no adverse findings six months after closure.

41. Project Inspection and Compliance Cases. Documentation of an inspection and investigation of projects and the people involved to determine compliance with law and the regulations and requirements of EDA.

- a. Close cases after completion of investigation and file separately.
- b. Retire closed cases to SHA every 3 years and transfer to WNRC 1 year later. Dispose when 10 years old.

42. Investigations Program Subject File. The file contains incoming and outgoing correspondence and other documents pertaining to specific inspection or investigations, proposed, pending, or completed by the office and certain other matters such as building security and the protection of national security information.

Start a new file every 2 years, transfer to SHA, and dispose of when 5 years old.

43. Field Activity Reports. The file consists of such field activity reports of Economic Development Representatives as are received in the office for reference purposes. The record copy of these reports are maintained by the Office of the Deputy Assistant Secretary for Economic Development.

Retire to SHA when no longer needed for current business. Transfer to WNRC 2 years later. Dispose of when 10 years old.

44. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activities.

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

45. Chronological File. The file consists of a copy of materials prepared in the Office and maintained in chronological order.

Dispose of when 3 years old.

OFFICE OF MANAGEMENT AND ADMINISTRATION
(formerly *Office of Administration and Program Analysis*)

Office of the Director

The Office of Management and Administration shall be responsible for providing the full range of administrative services for management and organization analysis and evaluation functions. These functions include management analysis, budget, accounting, personnel management, information systems and services involving automatic data processing, and office services.

46. Administrative Management Subject File. Papers generated by the Director or Deputy Director of the Office concerning the administration of program evaluation and administrative management services for EDA. Typical subjects include EDA Seal, Budget, Executive Training, Briefing Materials, Title IX, Economic Development Policy, Local Public Works Program, Drought Program, Program Evaluation, Legislation, Space, Accounting, IPA Agreements, and Excess Property. Arranged basically alphabetically by subject topics.

Start a new file every 2 years and retire to SHA. Bring forward active material to new file. Transfer to WNRC 3 years later. Dispose of when 15 years old.

Accounting Division

The Accounting Division shall:

Develop and maintain accounting systems and prepare financial reports for internal and external use, according to the needs of management, the requirements of laws or regulations, and established policies; analyze financial and operating data to assure that financial and management policies are being followed; and serve as the liaison with the Office of the Secretary and other Federal agencies in all accounting matters.

Office of the Chief

47. Accounting Program Subject Files. Documentation of the accounting structure and system filed in an alphabetic-numeric arrangement under the following primary subjects: administrative funds, program funds, general and addressee file.

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

48. 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.

- a. Applications for employment - Send successful applications to the Office of Personnel. Return unsuccessful applications to sender.
- b. All other records - Start a new file each year. Dispose of when 2 years old.

Program Accounting Grants and Contracts Branch
(Formerly Program Accounting Branch)

49. Journal Vouchers. These are posting media to the General Ledger showing account number and debits for each account and total cash receipts supplied during the month. These are treated manually.

Retire to SHA when 2 years old and dispose when 3 years old.

50. Status of Program Funds Reports. This is a weekly report submitted only during the month of September showing the amount of funds authorized to the end of the fiscal year, reserved, obligated, unreserved, and total unobligated. From these a computerized report is compiled for the Chief of the Division.

Dispose when 1 year old.

51. Reports of Delinquent ARA-EDA Loans. These are reports showing name of borrower, project number, principal balance, last payment received, frequency of payment, installments past due, and remarks with agent Federal Reserve Banks.

Dispose when 3 years old.

52. Vouchers and Schedules of Payments. These are memorandum copies of Vouchers and Schedules of Payment submitted to Treasury Department for issuance of checks. Also included are copies of the schedules of payments and copies of certified invoices accumulated in a discontinued file.

Retire to SHA when 3 years old. Transfer to WNRC 1 year later.

- a. Records dated prior to July 2, 1975 - Dispose 10 years, 3 months, after period covered by account.
- b. Records dated after July 2, 1975 - Dispose 6 years, 3 months, after period covered by account.

53. Non-Expenditure Transfer Authorizations. These forms authorize transfer of funds from an appropriation of EDA to another element of EDA or to other government agencies to be credited to their appropriation number.

Retire to SHA when 2 years old and dispose when 11 years old.

54. Certificates of Deposit. These are copies of certificates of deposit submitted to the Treasurer of the U.S. with related EDA collection tickets, debit vouchers, Federal Reserve Bank bills and EDA collection letters. Also included are daily summaries of changes in primary securities with Federal Reserve Banks and the related certificates of deposit, as well as records pertaining to cash receipts.

Retire to SHA when 2 years old. Transfer to WNRC 1 year later. Dispose of when 11 years old.

55. Notes. These are the original documents signed by the borrower and grantor duly authenticated. Although there are copies of these documents in the appropriate case files, in cases of litigation knowledgeable opinion holds that these are necessary for trial purposes.

Return to borrower after final payment is made and account is closed.

56. Public Works Grants Project Disbursements Files. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of

the approved grants with related vouchers for payment and the updated copy of the EDA project accounting records. Cases include both public works and local public works program cases.

Place fully disbursed (closed) cases in separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

57. EDA and MBDA Project Accounting Records. There are three copies (blue, white, and gold) of the project accounting record for all types of loans and grants used as source documentation for computer input to the file maintenance tape. The gold copy becomes the record copy of the printout. When the document is updated with additional data, the blue and white copies are forwarded to the Control Desk and to the Information Systems and Services Division. The gold copy is retained in the file. The documents are arranged by appropriation codes. These codes and other characteristics of the automated system are revised periodically.

Retire to SHA 1 year after revision of the system, and dispose when superseded or no longer needed for current business, whichever comes sooner.

58. Planning Grants. Cases can include copies of the grant showing funds reserved and obligations which include related posting abstracts, invoices, collection tickets and the EDA Project Accounting Record, and related records.

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

59. Economic Research Grants and Contracts. Cases can include copy of the contract or grant showing funds reserved and obligated for it with related amendments, if any, and the EDA Project Accounting Record, and related records.

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

60. Technical Assistance Grants and Contracts. Cases can include copies of the grants or contracts showing funds reserved and obligated for it, requests for disbursement and a current copy of the EDA Project Accounting Record showing the status of obligated funds, and related records.

File closed cases in separate file and retire to SHA 5 years after closure for transfer to WNRC.
Dispose 10 years after closure.

61. Drought Relief Project Grants. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA project accounting record, and related records.

Place fully disbursed (closed) cases in separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

62. Title X, Title IX, Section 304 Funds, and Other Special Funded Project Grants. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA Project Accounting Record, and related records.

Place fully disbursed (closed) cases in a separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

63. Minority Business Development (MBDA) Grants and Contracts. Cases can include documentation of project description endorsed with appropriate reservation of funds, copy of the approved grants with related vouchers for payment, and the updated copy of the EDA Project Accounting Record, and related records.

Place fully disbursed (closed) cases in a separate file. Retire to SHA 5 years after closure for transfer to WNRC. Dispose 10 years after closure.

Loans Branch

64. Public Works Loans. These cases can include a copy of the note for the loan, collection tickets, Transcript of Account, the EDA Project Accounting Record, and related

correspondence and other records. Accounting data in the file can be computerized. Loans are made for varying periods from 15 to 40 years.

Place fully repaid (closed) cases in separate file. Retire such closed cases to SHA in 2 year increments. Transfer to WNRC 3 years later. Dispose of 10 years after closure.

65. Business Loans Financed or Guranteed by EDA. These cases can include copies of Loan Authorizations, EDA Project Accounting Record, Request for Loan Check, Notification of Disbursement of Purchase, and Guarantee Agreements. Also papers related to agreement assignments and consent between the institution making the loan and EDA and the recipient, Quarterly Report on Deferred Participation or Guaranteed Loans, and related correspondence or other pertinent records.

Place fully repaid (closed) cases in a separate file. Retire such closed cases to SHA in 2 year increments. Transfer to WNRC 2 years later. Dispose of 10 years after closure.

66. Loan Collection File. The file consists of materials pertaining to the collection of certain loans, such as Notice of Loan Payment Due, Collection Tickets, and Certificates of Deposit.

Retire to SHA when 5 years old. Dispose of when 15 years old.

67. Business Loan Projects in Liquidation or Collateral Protection. The file consists of such papers as those authorizing additional money for contingent expenses to protect the interests of the Government or papers related to steps taken by the Collateral Protection Division to reinvigorate the management and financial position of the project.

File terminated project cases separately. Retire to SHA 2 years later. Transfer to WNRC 3 years later. Dispose of 15 years after termination.

Program Accounting Printouts

The program accounting printouts and tabulations are prepared by the Information Systems and Services Division of EDA, which operates the computer facilities for EDA programs. The tapes for these printout reports and tabulations are maintained by that Division; and are listed in the Schedule under that Division.

68. Public Works and Business Loan Project Account Printouts. These printouts of accounts for these types of loan projects are arranged by areas. The printouts show such data as the amount of a note, if any; credits applied; balances of funds; and the liability to the participant.

File materials for fully repaid loans separately.
Dispose of 3 years after repayment.

69. Accounting Transaction Lists (AC-01 or equivalent). This is a list of allotments, obligations, disbursements, allocations, advances, warrants, check delivery dates, collections for input and updating the general ledger account. This includes all changes to the general ledger appropriation account. If the machine rejects any of the output above, it is printed out on an error list (AC-02).

Dispose when 1 year old.

70. Weekly Error List (AC-02 or equivalent). This is a list of input data rejected by the computer. These error lists are checked against and reconciled with EDA Project Accounting Record.

Dispose when 1 year old.

71. Weekly Summary Status of Program Funds by Appropriation and Activity (AC-08A and AC-08A2 or equivalent). Shows accounting code, appropriation activity, reservations, obligations, disbursements, purchase interest and bond participation. It (AC-08A2) also shows accounting code advances, guaranteed loans, other refunds, repayment agreement accrued liability, contingent liability and final totals. This is the prime posting media to the general ledger. This is a cumulative account.

- a. End of fiscal year issue - Retire to SHA every 2 years, transfer to WNRC 2 years later and dispose when 10 years old.
- b. All other issues except final - Dispose when 1 year old.

72. Monthly Status of Funds by Appropriation by Area Office (AC-08B or equivalent). Status of funds by area offices under accounting code, reservations, obligations, disbursements, purchased interest, banking participation, and totals by each area office and grand total. This is a cumulative account.

Dispose when 1 year old.

73. Monthly Status of Funds by Location (AC-07 or equivalent). Shows obligation and disbursements and dates by states, by congressional districts and counties. This is a cumulative account.

- a. End of fiscal year issue - Dispose when 5 years old.
- b. All others - Dispose when superseded by new issue.

74. Quarterly Not Fully Obligated Reservations (AC-10A and 10B or equivalent). This is a quarterly account (issued weekly during the month of September) showing unobligated reservations of funds for each project.

Dispose when replaced by new issue.

75. Quarterly Obligations Not Completely Disbursed (AC-12A and 12B or equivalent). Quarterly accounts of unobligated funds not fully disbursed for each project. This is a cumulative account.

Dispose when replaced by new issue.

76. Weekly Sub-Number List (AC-17 or equivalent). This is a list of account sub-numbers used to control Project Accounting Record sent to data processing for machine input. It serves the same purpose as the batch control documents usually found in data processing installations.

Dispose when superseded by a new issue.

77. Annual Fund Control Summary (AC-20A or equivalent). This account shows the status of funds by sub-budget activity. It is only produced under special circumstances or by request. The original purpose of the account was to facilitate end of year closing of accounts. This is a feeder report.

Dispose when it has served its purpose.

78. Quarterly Accounting Reconciliation (AC-21 or equivalent). This is an automatically produced printout showing when the obligation is greater than the reservation or when disbursements are greater than the obligations.

Dispose when superseded by a new issue.

79. Weekly Status of Program Funds (AC-25 or equivalent). This shows current year status of program funds by program, by title of authorizing statute, type of funds, amount of funds authorized, funds reserved but not obligated, cumulative obligations, total committed and remaining balance with the total allotment. The data in this account is duplicated in the status of funds by appropriation (AC-08).

Dispose when the general ledger accounts have been closed at the end of each fiscal year.

80. Monthly Checks Issued Not Received (AC-14A and 14B or equivalent). This is a control of checks issued by the Accounting Division until they are received by appropriate borrower.

Dispose when 1 year old.

81. Cross Reference Project List (AC-26 or equivalent). This is an alphabetical list of projects showing the project number of each. It serves as a finder for source documents which are filed by project number.

Dispose when superseded by a new list.

82. Monthly State Grant Limitations (AC-30 or equivalent). This shows limitations on Grants-in-Aid funds under Title I of the Economic Development Act by state, project number, total amount of grant, grant limitation, and the balance of funds available. The accounts herein are shown in Status of Funds by Location (AC-07).

Dispose after 3 months of close of fiscal year.

83. Monthly Net Disbursements Beginning to End of Current Fiscal Year (AC-32 or equivalent). This shows disbursements by fiscal year, thereunder by title of the authorizing statute. The total disbursement for each title for each fiscal year is shown.

- a. End of fiscal year issue - Retire to SHA when 5 years old, transfer to WNRC 1 year later, and dispose of when 10 years old.
- b. All other monthly issues - Dispose upon receipt of end of fiscal year issue.

84. Monthly General Ledger Trial Balance for Appropriated Funds (AC-50 or equivalent). Account of funds for each account by account title, debits, credits, and trial balance totals.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old, transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of the end of fiscal year issue.

85. Monthly General Ledger Trial Balance Appropriated Funds (AC-50A or equivalent). This is a summarization of all appropriated funds by account number, account title, debits, credits, and trial balance totals.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old, transfer to WNRC 1 year later. Dispose when 10 years old.
- b. Quarterly Issues - Retire to SHA when 2 years old, transfer to WNRC 1 year later, and dispose when 10 years old.
- c. All other issues - Dispose when 1 year old.

86. Monthly General Ledger Trial Balance for Appropriated Funds (AC-52A and 52B or equivalent). This is a trial balance account of funds for the expired year and the current year for each account established by the Treasury Department.

Also included is a trial balance account of all years for each account number established by Treasury.

- a. End of fiscal year issues (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of end of fiscal year issue.

NOTE: These are automated revolving fund accounts.

87. Weekly Loan Master Update Listing with Diagnostic Errors (LN-1 or equivalent). This is a listing of the input and errors automatically kicked out by the machine relating to ED-65, Loan Accounts, Accounts and Notes Receivable and Judgments; ED-66, Acquired Property Record. The input includes entry date, effective date, transaction code, document number, changes on amount of note or judgment, credit supplies and balances.

Dispose when 1 year old.

88. Monthly Listing on Miscellaneous Transactions and Errors (LN-2 or equivalent). This is a listing of the input showing entry date, effective date, transaction code, document number, and amount. This list also includes entries rejected by the machine.

Dispose when 1 year old.

89. Weekly General Ledger Trial Balance (LN-10 or equivalent). This is an account of funds for every transaction under the account and a pre-closing and closing trial balance for the account.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other issues - Dispose when 2 years old.

90. Monthly Analyses of General Ledger Trial Balance Changes (LN-11 or equivalent). Shows account code, starting balance, debits, credits, and ending balance for every account in the fund.

- a. End of fiscal year issue (including pre-closing and closing trial balances) - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose upon receipt of the end of fiscal year issue.

91. Weekly and Monthly Detail Trial Balances (LN-14 or equivalent). This is an account by project of all funds relating to each project by transaction. This is a cumulative account and the detailed backup is contained in AC-10 General Ledger Trial Balance.

- a. End of fiscal year issue - Retire to SHA when 2 years old and transfer to WNRC 1 year later. Dispose when 10 years old.
- b. All other monthly issues - Dispose when 1 year old.
- c. Weekly issues - Dispose when superseded by new issue.

92. Weekly Listing of Projects/Sub-Numbers (LN-17 and 17A or equivalent). Listing showing project number and type of account. Also included is an alphabetical listing of projects by name with project number and type of account. These are used for control purposes.

Dispose when superseded by new issue.

93. General Ledger Master Error Listing (LN-20 or equivalent). This is a list of items rejected by the machine showing project number, transaction code, entry date, and document number and the reason for rejection by the computer.

Dispose when 1 year old.

94. Project Audit, Out-of-Balance Transactions, and Project Audit Summary (LN-18 or equivalent). This is a report produced on request to automatically scan the accounts and print out any projects that are out of balance.

Dispose upon reconciliation of the account involved.

95. Project Audit, Out-of-Balance Transactions (LN-12 or equivalent). This is a report of funds by transaction for a particular account produced automatically for purposes of reconciliation of the account involved.

Dispose upon completion of reconciliation of the account involved.

96. Special Routine Program Account Printouts or Tabulations. These tabulations, not covered elsewhere above, concern routine operational fiscal or accounting status reports prepared as needed for accounting for the expenditure of EDA program funds.

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

Administrative Accounting and Reports
(formerly Administrative Branch)

97. 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 before July 2, 1975 - Dispose of 10 years, 3 months, after period covered by account.
- b. Records created on or after July 2, 1975 - Dispose of 6 years, 3 months, after period covered by account.

98. 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.

- a. Records created before July 2, 1975 - Dispose of 10 years, 3 months, after period covered by account.
- b. Records created on or after July 2, 1975 - Dispose of 6 years, 3 months, after period covered by account.

99. 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.

100. 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.

- a. Records created before July 2, 1975 - Dispose of 10 years, 3 months, after period covered by account.
- b. Records created on or after July 2, 1975 - Dispose of 6 years, 3 months, after period covered by account.

101. 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. Record copies of these documents are maintained by the Office of the Secretary, Central Accounting Division.

Dispose when no longer needed for current business, or when 6 weeks old, whichever is sooner

102. 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, transfer to WNRC 2 years later.

- a. Records created before July 2, 1975 - Dispose of 10 years, 3 months, after period covered by account.
- b. Records created on or after July 2, 1975 - Dispose of 6 years, 3 months, after period covered by account.

103. 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.

- a. Records created before July 2, 1975 - Dispose of 10 years, 3 months, after period covered by account.
- b. Records created on or after July 2, 1975 - Dispose of 6 years, 3 months, after period covered by account.

104. 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.

105. 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.

106. 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.

107. 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.

108. 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.

Administrative Accounting Printouts

These administrative accounting tabulations and reports in the form of computer printouts are generated by the ADP Operations Division of the Office of the Secretary for distribution to all Departmental operating units served by that computer facility, including EDA. The tapes for these printouts are maintained in the Office of the Secretary.

109. Batch Proof Listings. These are intermediate computer runs that are produced as part of the process for preparing the Detail Batch Listings. These are used to check the data stored in the computer and the accuracy of input and machine operations. These include Fast Edit Listings for Personal Services and for other objects, and Journal Voucher Proof Listings.

Dispose when no longer needed for current business.

110. Undelivered Orders - Monthly Detail Batch Listings. Monthly Detail Batch Listings serve as the equivalent of books of original entry for the computerized accounting system. They show data broken down into complete accounting classifications in enough detail to provide input information needed to derive the information for Formal Cost Statements and the General Ledger Accounts. The Undelivered Orders Listings provide data on month-end obligations and obligations of the prior month.

Dispose of listings 1 year after the end of the quarter covered.

111. Accruals - Monthly Detail Batch Listings. These Accruals Monthly Detail Batch Listings cover the various accruals input information for the accounting system. They include data on such matters as Refunds, Corrections and Miscellaneous Transportation Accruals, Personal Services and Corrections, Leave, Employee and Fringe Benefits Accruals, Accounts Payable, and Adjustments.

Dispose of listings 1 year after the end of the quarter covered.

112. Disbursements - Monthly Detail Batch Listings. These Disbursements Monthly Detail Batch Listings cover the various disbursements input information for the accounting system. They include data on such matters as Personal Services Disbursements, Accounts Payable Disbursements and Other Objects, and Transportation Disbursements.

Dispose of listings 1 year after the end of the quarter covered.

113. Preliminary Cost Statements. 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.

114. Formal Cost Statements. These are certain numbered cost statements 37, 31, 32, 33, 38, 4, 12, 5, 6, 39, 21, 35, 34, and 36 or equivalent. They contain essentially the same information as the Preliminary Cost Statements. They are prepared by Central Accounting for distribution to the primary operating units served with the sequence of entries arranged in the manner requested by client unit.

- a. Statement Nos. 37, 31, 32, 33, and 38 or equivalent - Retire to SHA at the end of every year and transfer to WNRC 1 year later. Dispose when 11 years old.
- b. All other - Dispose when superseded by a new issue.

115. Personal Services Listings. These listings are by-product listings produced from the Comprehensive Payroll and Master Payroll data stored in the computer. They are used mainly for procedural and production analysis and other managerial purposes. They include various bi-weekly, monthly, and cumulative listing reports involving many different aspects of payrolling such as Personal Services by Employees, Employee Detail Report, Compensatory Leave Earned and Taken, Overtime Report, Health Benefits, and the like.

Dispose when superseded by a new issue.

116. 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.

117. Accounting Listings. These include the following listings or equivalent:

- 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.

Dispose 1 year after the close of the quarter concerned.

118. Other Accounting Listings. These include the following listings or equivalent 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 of those described above.

Dispose when superseded by a new issue.

119. General Ledger Listings. 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.

The General Ledger Listings include the following or equivalent:

General Ledger Totals by Appropriation
Journal Vouchers
Registers
Monthly Statements of Transactions
Consolidated Trial Balance

Retire to SHA at the end of every year and transfer to WNRC 2 years later. Dispose when 11 years old.

Reports

120. Budget and Financial Reports. Included are appropriation warrants, apportionment and reapportionment schedules, budget advices, obligation reports, reimburse-

ment authorizations, transfer of funds from Regional Commissions and Department of Labor to EDA. Also included are reports on budget status, statement of unexpended fund balances of appropriations, statement of financial conditions and statement of income and expenses and source and application of funds.

These papers reflect the funding of EDA from the passage of the appropriation until allotments are made to operating units. The reports include all of those required by other agencies with respect to funding during the period.

Retire to SHA when 2 years old, transfer to WNRC 3 years later, and dispose when 10 years old.

121. EDA Financial Reports. This file consists of copies of periodic financial reports sent to the Treasury Department or OMB and covering program and administrative matters.

- a. Final fiscal year balance reports - Retain until no longer needed for current business.
- b. All others - Dispose when 5 years old.

122. Annual Community Services Report (AC-27 or equivalent). This report shows obligations for grants-in-aid and loans and loan guarantees for underprivileged areas and business firms, and is submitted to the community services administration by EDA.

Dispose when 2 years old.

123. Monthly Accrued Expenditures (Planning and Research) Report (AC-28 or equivalent). This report shows obligations and expenditures classified by project number and account code for planning and research for grants and contracts. The printout is forwarded to the appropriate program division which enters manually the accrued expenditures. These are inputted and printed out in the general ledger closing trial balance. The remainder of the entries appear in Status of Funds by Appropriation Reports.

Dispose when 2 years old.

124. Monthly Accrual Expenditures - Public Works Report (AC-33 or equivalent). This shows obligations and the expenditures classified by project number and account codes for public works grants and contracts. The data herein is carried forward and summarized in the general ledger closing balance.

Dispose when 2 years old.

125. Annual Federal Grants-in-Aid to States Report (AC-40 or equivalent). This shows current year expenditures for grants-in-aid to states classified by state and appropriation numbers. This account is a by-product of the AC-08, Status of Funds by Appropriation.

Dispose when 5 years old.

Budget Division

The Budget Division shall:

Develop and manage an integrated financial management and budgeting system for EDA. It shall develop and prepare the annual budget for EDA; be responsible for the total financial program of EDA and for the fiscal aspects of EDA programs entrusted to other Federal agencies; and operate a fiscal control system for both program and administrative expenses consistent with the requirements of the Anti-Deficiency Act, which shall include but not be restricted to, allotment of funds, operating budgets, employment limitations, and analyses of reports and proposed actions relating thereto.

126. Budget Estimates and Budget Operations. Documentation of instructions for the preparation of the budget, submissions to the Department, hearings, submissions to the Office of Management and Budget, and to Congress with supplemental estimates, preview estimates, and supporting papers. Also included are internal papers generated to respond to congressional inquiries concerning legislation and budget.

Start a new file every year and retire old material to SHA. Transfer to WNRC 2 years later and dispose when 6 years old.

127. Operating and Administrative Budget. Contains budget submissions from various offices and subdivisions and records pertaining to budget allocations, appropriations, operating budget reviews, and gifts and bequests, together with workpapers and supporting data.

Start a new file every year and retire oldest material to SHA. Transfer to WNRC 2 years later and dispose when 6 years old.

128. Budget Source and Control File. This contains periodic activity, program status, Federal funds, and other reports, surveys and studies collected by budget analysts for use in budget preparation. Similar papers on financial management including descriptions of the appropriation structure, appropriation chronology, program allocations, special problem areas, resource allocations, and the like are generated. The file also contains funds control documentation including warrants, financial plans, allotments, advances, and reimbursements, chart narratives, and similar papers pertaining to the management of funds.

~~Retire closed cases to SHA every 2 years.~~ Transfer to WNRC 1 year later and dispose when 6 years old.

129. 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.

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

Information Systems and Services Division

The Information Systems and Services Division shall:

Plan, develop, acquire, and coordinate the use of automatic data processing systems and equipment for EDA; provide data processing services, including the conduct of feasibility studies and the development of systems and programs for the applications of automatic data processing techniques; develop and maintain a comprehensive information and data base system to meet specified requirements for administrative, planning, operational, program manage-

ment, and program evaluation purposes; and provide periodic and special summary reports on current optional trends and performance comparisons to planned goals.

130. Director's Administrative Management and Technical Subject File. This contains incoming and outgoing correspondence pertaining to the executive direction of the Division. Also included are papers concerning the contractual, technical, and reimbursable activities of the Division. Copies of most of the material prepared by all organizational components of the Division are included in this file.

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.

131. Contractual and Reimbursable Services File. Documentation of contracts and agreements with private firms and other Government agencies for services and other objects. Also included is documentation of reimbursable services performed for Federal, state and local government agencies with related correspondence and progress reports from contractors. These primarily are in case file arrangement and cases are closed when the contract or agreement is fulfilled and terminated.

Retire closed cases to SHA at the end of every 2 years. Dispose 5 years after termination.

132. Administrative Subject File. These are office copies of papers pertaining to housekeeping matters such as personnel actions, time and attendance reports, budget submissions, space requirements, requisitions for services and other objects. The file also contains a name file for each employee presently on the staff.

a. Employee Name File - Dispose upon separation from the Division.

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

133. Work Plan File. Documentation of planning and coordination of technical tasks and assignments undertaken by the Division and of the utilization of specialized personnel and contracts to accomplish established

goals. Included are some papers on contracts with individuals and firms that may be used as sources of capability needed by the Division to implement its activities.

Start a new file every 2 years and retire to SHA 1 year later. Dispose when 5 years old.

134. Program Tapes. A program tape contains a sequence of instructions to a computer to make it perform in a desired manner.

Maintain in ISSD tape library on a 2-generation basis, until no longer needed for current business or until superseded, whichever comes first.

135. Documentation Manuals. Documentation manuals include the System Reference Book, Program Reference Book, User Reference Book, and Operations Run Book.

Dispose of 1 year after discontinuance of the system involved.

136. Weekly Tape List. This list provides information on "Administrative Systems Quick Query Program Tape Files" that are scheduled for update on a weekly basis. Specified for each file are (1) name of file; (2) date that file was created; (3) "data as of date" which is the current date of the data used to update the file; (4) acronym for production system that generates the file; and (5) file's tape reel number(s).

Maintain on a 16-generation basis.

137. Input Data Punch Cards. These input data cards are used to update tape files of various production systems. The machine readable punch cards are keypunched from source documents prepared by EDA Headquarters and EDA Regional Offices and submitted to ISSD for processing. For each production system, the punch cards are used to update transaction files which are maintained on a 4-generation basis.

Dispose of a deck of input data cards when the transaction tape that it was used to update has been scratched.

138. Coding Forms and Associated Punch Cards (excluding QQP forms and cards). Various types of coding forms are used to record computer instructions, parameters associated with computer instructions, data used with program testing, etc. Recorded information on a coding form is keypunched to produce machine readable punch cards.

Dispose of coding forms and associated punch cards after satisfactory computer processing with the cards and additional processing with the cards is not anticipated.

139. Operating System Tapes. The operating system is the software package to simplify and control computer housekeeping such as input-output functions, sort-merge functions, compilation functions, booting functions, etc.

Maintain in ISSD tape library on a 4-generation basis.

140. Input Source Documents. These source documents are prepared by EDA Headquarters and EDA Regional Offices. Data from the documents are keypunched to produce machine readable punch cards used for updating data files. It is planned to enter data also by remote terminals. These source documents include, but are not limited to:

| <u>Source Document Identification</u> | <u>Disposition after data has been successfully written to tape</u> |
|---|---|
| a. ED-2, EDA Application Transcript | Dispose of after 3 months |
| b. ED-4, EDA Project Narrative Transcript | Dispose of after 3 months |
| c. ED-65, A. Loan Account; B. Accounts/Notes Receivable; C. Judgment | Retire to Accounting Div. |
| d. ED-66, Acquired Property Record | Retire to Accounting Div. |
| e. ED-67, Miscellaneous Accounting Transaction Records for Appropriated Funds | Retire to Accounting Div. |

| <u>Source Document Identification</u> | <u>Disposition after data has been successfully written to tape</u> |
|---|---|
| f. ED-636, Miscellaneous Accounting Transaction Records for Appropriated Funds | Retire to Accounting Div. |
| g. ED-154, Public Works Construction Status Transcript | Dispose of after 3 months |
| h. ED-227, OBD Loan Summary-1 | Retire to Office of Portfolio Administration |
| i. ED-228, OBD Loan Summary-2 | Retire to Office of Portfolio Administration |
| j. ED-229, OBD Loan Summary-3 | Retire to Office of Portfolio Administration |
| k. ED-705, Geographic Data Master Transcript* | Dispose of after 3 months |
| l. ED-706, District Transcript | Dispose of after 3 months |
| m. ED-746, Local Public Works Payroll Reporting Form | Dispose of after 18 months |
| n. ED-747, Identification of LPW Evaluation Representative Contractors and Subcontractors | Dispose of after 18 months |
| o. Other Special Input Forms | Dispose of after 18 months |

*For backup, maintain each Memorandum of Designation for a period of 2 years before disposing of it.

141. RESERVED.

142. Directory of Geographic Codes. This directory specifies geographic codes including codes for states, counties, districts, and areas.

Maintain at ISSD and replace as updated.

143. Quick Query Program Coding Forms and Associated Punch Cards. Recorded information on Quick Query request forms is keypunched to produce machine readable punch cards. A deck of these punch cards is used in conjunction with the Quick Query software package to produce a Quick Query report displaying requested data.

- a. Dispose of coding forms after satisfactory computer processing with the cards or dispose of forms at a later date as designated by the individual having recorded information on the coding forms.
- b. Dispose of cards for a one-time Quick Query request 1 month after the request has been satisfied. Dispose of cards for a recurring Quick Query Request 6 months after termination of the requirement to produce the report on a recurring basis.

144. Management Information System Reports. These computer-generated reports display EDA project data, EDA accounting data, and socio-economic data.

Maintain current copy of reports and dispose of when superseded.

145. Magnetic Tape Files. ISSD maintains in its tape library (TL) the tapes for accounting for the various grant and loan programs of EDA. Such tapes include:

- a. Geographic Data Master (Update weekly)
Maintain in TL on a 5-generation basis.
- b. Project Data Master (Update weekly)
Maintain in TL on a 5-generation basis.
- c. Project ARA Data Master (Update on a demand basis) - Maintain in TL on a 3-generation basis.
- d. Business Development Loan Master (Update monthly)
Maintain in TL on a 5-generation basis.
- e. Public Works Master (Update weekly)
Maintain in TL on a 5-generation basis.
- f. Fund Control Master (Update weekly)
Maintain in TL on a 5-generation basis.

- g. Fund Control Transaction Master (Update weekly)
Maintain in TL on a 5-generation basis.
- h. Loan Accounting Master Update weekly)
Maintain in TL on a 5-generation basis.
- i. Loan Accounting Transaction History Master
(Update weekly) - Maintain in TL on a 5-
generation basis.
- j. Socio-Economic QQP Master Files (Update on a
demand basis) - These QQP files include COUNTY,
MERGE, SMSA, CITY, COUNTY.60PC, County.BP.XX,
and INCOME. - Maintain in TL on a 3-generation
basis.
- k. Subset or Quick Query Tapes A number of reports
are produced from subset tapes created from one
or more master files - Maintain in TL for 15
generations. Scratch tape when there is no
demand for its use.
- l. Transaction Update Files. A transaction tape is
used in the update processing of each master file
identified in (a) through (h) above. In the up-
date process, data from punch cards are transferred
to a transaction tape from which the data are trans-
ferred to the master file being updated.

For each master file identified in (a) through (h) above,
maintain a set of transaction tapes on a 5-generation
basis, with the following exceptions:

- (1) Tapes from which Annual Reports or Approved Pro-
ject Directories are produced are to be maintained
until no longer needed for current business.
- (2) Tapes pertaining to Basic Local Public Works,
Title X, PWIP, Drought, or other special pro-
grams should be retired to SHA for transfer to
WNRC when no longer needed for current business
on site. Dispose of 5 years thereafter.

Personnel Management Division (See pages 205-237 of the
Office of the Secretary Records Control Schedule, NC1-40-79-
1, for approved records disposition authorizations)

Management Analysis Division

The Management Analysis Division shall:

Conduct organization and management studies and surveys; plan and conduct a program for achieving maximum economy, effectiveness, and efficiency, and for obtaining optimum personnel utilization; develop and conduct a program for the efficient management of all official records, including an issuance system for administrative and program orders, and the design and control of official forms; and develop and administer a report control system for all administrative and operational reports.

146. General Correspondence File. Contains copies of incoming and outgoing correspondence pertaining to all facets of the staff management activities of the office. Also included are suggestions for improvements, draft proposals and some copies of reports, surveys, and studies.

Start a new file every 3 years, retire to SHA, and dispose when 10 years old.

147. Reports, Surveys, and Studies File. This contains copies of reports, surveys, and studies generated or collected by the Division. They are essentially duplicated by copies maintained elsewhere for long-term purposes.

Start a new file every 3 years, retire to SHA, and dispose when 10 years old.

148. Management Organizational File. Contains incoming and outgoing correspondence relating to various management situations and problem areas, studies, functional and organizational statements, and general over-the-counter business requiring management analysis.

Start a new file every 3 years, retire to SHA, and dispose when 10 years old.

149. Functional Forms File. Contains copies of all EDA forms in use, arranged by function used, for forms design review and management purposes.

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

150. Management Subject File. Incoming and outgoing correspondence pertaining to specific management areas and problems such as conference planning and management, directives system, and certain emergency situations.

Start a new file every 2 years, retire to SHA, and dispose of when 5 years old.

151. Project Improvement Reports. Copies of reports that list projects with target dates designed to improve management. Included are the action papers to implement the project or improvement.

Retire to SHA when 3 years old and dispose of when 6 years old.

152. Manual of Economic Development Directives Case Files. A case file is established for each Manual of Economic Development Administration Directive (EDAD) formerly called MEDO's and contains all background papers pertaining to the development of each such directive and at least one printed copy of each version issued, if any.

Permanent. Retire closed cases to SHA every year Transfer to WNRC 5 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

153. Equal Employment Opportunity Complaint Investigation File. Case files pertaining to individual complaints involving fair employment practices. The file copy of such complaints is maintained in the Office of the Secretary.

Dispose of closed cases 2 years after action on the complaint is completed.

Office Services Division

The Office Services Division shall:

Provide or arrange for office services for EDA's headquarters and, as required, for the Regional Offices, including the procurement of administrative supplies, vehicle hire, furniture, equipment, and the distribution of printed and bound materials; evaluate, report on, and make recommendations on the utilization of space, supplies, equipment, communications, and related services within EDA; and serve as liaison with the Office of the Secretary on office services matters.

154. Administrative Subject File. These are office copies of papers on matters such as time and attendance, air pollution, office copies of contracts, Interagency Motor Pool, fire prevention, GSA work authorizations, parking, training, personnel actions, requisitions for services, and other similar housekeeping requirements.

Dispose when 2 years old.

155. Personnel Locational Roster. These are copies of worksheets filled out by each office and division giving information needed for inclusion in the Telephone Directory.

Dispose 3 months after issuance of Telephone Directory.

156. Field Office Space File. These are copies of GSA space assignment records for EDA field installations and the allocation of space at each location and related papers.

Dispose 6 months after change of location or closing of installation.

157. Building Floor Plans. These are copies of floor plans of the Main Commerce Building and other buildings occupied by EDA on which space allocation and other space management data are drawn or entered.

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

158. Completed and Uncompleted Supply Equipment or Service Orders. These are office copies of purchase orders. The procurement copy is forwarded to the Procurement Divi-

sion, Office of Administrative Services and Procurement, Office of the Secretary. Copies of these orders are kept in a binder until the Procurement Division, OAS&P, assigns them a purchase order number, at which time they are filed in the completed order file. A log is kept of all orders sent to the Procurement Division and the number assigned to the order is entered when issued.

Dispose when 2 years old.

159. Inventory of Typewriters, Adding and Calculating Machines, Reproduction Machines, and Other Office Equipment. This is a visible card inventory of equipment showing name of item, serial number, requisition number, Purchase Order Number, date received, model number, characteristics of items, cost, and location. Furniture and furnishings are accounted for by computerized system.

- a. Dispose of individual cards when subject equipment is disposed of.
- b. Computerized records - Dispose of when equipment is no longer in inventory.

160. Field Office Personal Property Inventory. These are copies of correspondence, accountable property inventory, serialized lists of personal property, and the like.

Dispose when superseded by new accountable property inventory.

161. Printing Requisitions. Office copies of Requisitions for Printing. The procurement copy of these requisitions are maintained in the Office of Publications, Office of the Secretary.

Dispose of when 2 years old.

162. Loaned Excess Property Case Files. These are case files reflecting the extended loan of excess property to authorized grantees. The files consists of such papers as SF-122, Transfer Order, Excess Personal Property; ED-733, Request for Excess Property; ED-734, Master Agreement, and other related papers.

Retire closed cases to SHA each year.
Dispose of when 6 years old.

162a. Employee Accident Reports. Consists of records involving reporting of employee accidents.

Dispose of when 5 years old.

162b. Employee Applications for Motor Vehicle Operator's card. Applications from employees for authorization to operate government vehicles.

Dispose of when reissued at end of 3 years or upon employee's termination of employment.

163. EDA Surplus Property Case Files. These case files reflect the disposition of surplus property and consist of Form CD-51, Report of Excess Property, and related papers. The files are duplicated by the record copy maintained by the Office of the Secretary.

Dispose of 3 years after disposition of property.

OFFICE OF POLICY EVALUATION AND RESEARCH
Program Evaluation Division
(formerly OFFICE OF ADMINISTRATION AND PROGRAM ANALYSIS
Program Analysis Division)

The Program Evaluation Division undertakes evaluations (1) measure the effectiveness of programs and individual projects funded by the agency in terms of alleviating economic distress in specific target areas, identify causal relationships impacting these programs and projects, determine the cost/benefit relationships of such programs and projects, and, on the basis of the foregoing, develop recommendations aimed at increasing the impact and effectiveness of agency funding; (2) determine what steps might be taken to improve program administration within the agency and improve coordination among agency programs; and (3) determine the extent to which the results of specific programs and projects can be transferred to similar programs or projects.

164. Program Evaluation Subject File. This file mainly reflects the conducting of program evaluation studies by the office on the effectiveness of various EDA programs, grants, loans, and projects, as well as special analytical assignments for which the office is responsible. Included are papers concerning proposed or completed evaluations conducted by contractors as well as by EDA personnel. Typical subjects include Conferences, Bureau of Labor Statistics, Field Survey Reports. Work Programs, EDA Budget Concept, and the like. Arranged alphabetically by subject topic.

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

165. Evaluation Studies Report Files. The file consists of case folders documenting the evaluation studies carried out by the Division, either by Division personnel or by contractors. Such study reports, correspondence, and related papers provide a measure of the effectiveness of the selected EDA programs or projects covered. The reports provide an excellent source of historical insight into the workings of EDA programs.

Permanent. Retire to SHA 2 years after completion of final report. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

166. Evaluation Studies Working Papers. This file consists of working and background papers of evaluation studies separated from the case file documentation maintained under the previous item. These papers can include data collection materials, statistical and other data analysis materials, transitory correspondence, and extra copies of documents pertaining to the study from official files of EDA.

Dispose of 6 months after issuance of final report.

167. Administrative Subject File. These are office copies of papers pertaining to such matters as time and attendance, personnel actions, travel, budget, space, contracts, requisitions for services, employee folders, and similar housekeeping activities.

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

168. Chronological Files. The files consists of extra copies of materials, arranged by date, prepared in the Division.

Dispose of when 3 years old.

OFFICE OF THE CHIEF COUNSEL

The Office of the Chief Counsel shall:

Render all necessary legal services, subject to the provisions of Department Organization Order 10-6; have primary responsibility for the preparation, coordination, and clearance of all legislation, regulations, and external orders subject to the provisions of applicable Department orders; and establish uniform overview standards and procedures to be followed by the Regional Offices' legal staff in their review of projects under Sections 101 and 201 of the Act.

169. Legal Subject File. This file contains copies of documents pertaining to legal affairs of EDA, including certain opinions of legal matters as required by the program. The file basically reflects the responsibilities of the Chief Counsel and the Deputy Chief Counsel, although certain copies of important opinions and other legal documents prepared in the divisions may be included. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. 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.
(Temporarily Withdrawn)

170. Administrative Subject File. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

171. Chronological File. The file consists of chronologically filed copies of documents signed or prepared by the Chief Counsel or Deputy Chief Counsel.

Dispose of when 5 years old.

*Superseded
by Item 1,
Job NI-5R-99-1*

Assistant Chief Counsel for Field Operations

172. Legal Subject File. This file, basically arranged by Titles of the Public Works and Economic Development Act of 1965, as amended, and also by various special programs undertaken by EDA, reflects the legal review function of the Assistant Chief Counsel in passing on projects carried out in the Regions. It includes such subjects as Opinions, Titles I, II, III, IX, X, Drought Program, Regional Offices, Grants, Post-Approval, Trade Act, Feasibility Studies, and Relocation Assistance.

Break file every 5 years, and bring forward active materials, as needed.

- a. Opinions - Permanent. Retire to SHA upon discontinuance of agency for transfer to WNRC. Offer to the National Archives 20 years thereafter.
- b. All other records - Retire to SHA when no longer needed for current business. Transfer to WNRC and dispose of when 25 years old.

173. Project Legal Review File. This file consists of project review checklists completed by attorneys, copies of pertinent opinions, and related data generated in the course of reviewing Regional projects prior to agency approval, with related papers.

Retire to SHA when no longer needed for current business. Transfer to WNRC and dispose of when 25 years old.

Assistant Chief Counsel for
Litigation and Liquidation

174. Project Closing and Servicing Subject File. These are copies of papers pertaining to the legal review of distressed projects to assure either fulfillment of all requirements of the loan or grant or that there has been some non-compliance or some other violation or circumstance causing the project to fail. Also included are

copies of papers pertaining to legal service or closed projects that may or may not lead to their reactivation, but in any event to prescribe steps to protect the interests of the government. All of these papers are essentially duplicated in documents in the project case files.

Start a new file every 2 years and retire to SHA for transfer to WNRC. Dispose of when 25 years old.

175. Litigation and Liquidation Case File. Documentation of foreclosure, bankruptcy, and other actions necessary to protect the government's interest involved in distressed projects. Each case contains all papers pertaining to the action from initiation through conclusion. Close the case when the transaction is concluded and file separately.

Retire closed cases to SHA when no longer needed for current business. Transfer to WNRC 2 years later.

- a. Retain Samples (See Page 166).
- b. All others - Dispose 15 years after the case is closed.

176. General Litigation Case Files. Documentation of cases that are not related to a project that cover a general action brought by EDA to protect the interest of the government or one initiated by a private party against the government. Each case contains all papers from initiation of the action through its conclusion.

Retire closed case files to SHA when no longer needed for current business. Transfer to WNRC 2 years later.

- a. Retain Samples (See Page 166).
- b. All others - Dispose 15 years after the case is closed.

177. Summary of Matters in Litigation. This is a docket of all cases handled by the Division showing the date received, project or adversary's name, titles of pro-

ceedings and/or court, date filed, issues, status, and the attorney assigned the case.

Retire sheets on which all entries have been concluded to SHA at the end of every 5 years. Transfer to WNRC 1 year later. Dispose of when 20 years old.

Assistant Chief Counsel for
Administration and Legislation

178. Legal Subject File. The file consists of materials reflecting the providing of legal services to EDA covering legislation and administrative matters. It contains such subjects as Bid Protests, Civil Rights, Legislation, Environment, Budget, Appropriations, Personnel, and other similar-type administrative management subjects.

Break file every 5 years and bring forward active materials as needed. Retire to SHA 3 years thereafter. Transfer to WNRC 1 year later. Dispose of when 20 years old.

179. Legislative History of the Public Works and Economic Development Act of 1965, As Amended. The file consists of selected materials providing historical documentation of this basic Act authorizing the EDA program. The material is maintained in three-ring binders, and is basically arranged by year.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

180. Legislative Files. Contains copies of bills, hearings proposed and pending legislation, legislative reports with related comments, interpretations and legal opinions pertaining to such items. Arranged basically by Congress, and by legislation thereunder.

a. Opinions and Legislative Precedent Materials -
Permanent. Retire to SHA when no longer needed

for current business. Transfer to WNRC 2 years thereafter. Offer for transfer to the National Archives 20 years thereafter.

- b. All other materials - Retire to SHA upon adjournment of the third successor Congress. Dispose upon adjournment of the fourth successor Congress.

181. Conflict of Interest File. Documentation of conflicts of interest by private individuals and organizations with copies of reviews and legal opinions prepared by the Assistant Chief Counsel.

Dispose when 25 years old.

OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs shall:

Advise on all public information matters; conduct a public information program under the policy guidance of the Assistant Secretary; and provide assistance in the editing, printing or reproduction, and distribution of technical materials and publications.

182. Job Jackets. When each project is completed a summary sheet is forwarded to the Office of Public Affairs and a press release is prepared with appropriate letters to Congressmen, and held in job jacket until the project is finally approved. The residual papers include a copy of the press release, correspondence, draft, and related papers for each project. Copies of press releases are retained in the record set in the Newsroom, Office of the Secretary.

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

183. Biographical Statements. These are short biographic resumes of senior officials of EDA used for news purposes, introductions at meetings and public appearances.

Retire two copies of sketches of separated officials to SHA at the end of every year. Dispose 4 years later.

184. Press Releases. The file consist of EDA press releases issued by the Office.

- a. Send two copies of each release issued to the Newsroom, Office of the Secretary for inclusion in that Office's record copy set.
- b. All other copies - Dispose of when 5 years old.

185. Speeches, Testimonies, and Statements by the Assistant Secretary. Speeches and statements made or given before public forums and testimonies to Congressional committees.

- a. Send two copies to the Office of the Secretary for inclusion in the record copy set maintained there.
- b. All other copies - Dispose of 5 years after a change of Assistant Secretary.

186. Speeches, Testimonies, and Statements of EDA Officials Other Than the Assistant Secretary. These are copies of public utterances of such officials.

- a. Send two copies of the Office of the Secretary for inclusion in the record copy set maintained there.
- b. All other copies - Dispose of 5 years after a change in National Administration.

187. EDA In-House Newspaper. Records pertaining to the periodically issued in-house newspaper featuring items of interest to EDA employees and others.

- a. Record copy set - Permanent. Retire a record copy of each issue 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.

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

188. Mailing Lists. The file consists of strip lists of names and addresses of recipients of press releases and other EDA published materials.

Purge inactive strips from lists as needed.

189. Biographical Sketches of Members of National Advisory Committee for Economic Development. These are biographical sketches of the membership comprising this Advisory Committee.

Dispose of sketches 1 year after separation from the Committee.

190. Public Affairs Subject File. Documentation created and collected by the Office pertaining to the performance of its functions with associated reference materials.

Dispose when 2 years old.

191. 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.

Publications Division

192. Record Copies of EDA Publications. This comprises two copies of each publication produced by EDA for external distribution. This does not include manuals, directives, and other issuances for the executive and administrative direction of EDA. Arranged by title.

Permanent. Retire two copies of each publication produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

193. Qualified Areas Map File. Record copies of maps showing in color the various areas designated as qualified to receive EDA assistance. These maps document pictorially the EDA programs. Arranged by state.

Permanent. Retire one copy of each version produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

194. District Map File. Record copies of maps showing EDA districts created for purposes of management. One district may include several qualified and unqualified areas. Arranged by district.

Permanent. Retire one copy of each version produced to SHA every 5 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

195. Promotional Audio-visual Records, Public Affairs
(See Addendum page 167 for Item 195.)

196. Requests for Publications and Information. Incoming requests for publications and information with copies of replies.

Dispose when 1 year old.

197. Printing Requisitions. These are ordering office copies of requisitions for printing jobs and services.

Dispose when 2 years old.

198. Printer's Reproducibles. These are photo offset negatives and other types of plates used to print EDA publications and glossy photographic illustrations.

a. Photographs - Withdraw from jacket and return to the photo library.

b. Other materials - Dispose when 2 years old.

199. Operating Subject File. Documentation of the internal direction and activities of the office including correspondence, reports, personnel papers, technical data, and a chronological file.

Dispose of individual file folders containing obsolescent or superseded material.

200. Freedom of Information Request File. The file consists of incoming correspondence, copies of replies, and background materials relating to the answering of Freedom of Information Act requests.

Dispose when 5 years old.

OFFICE OF CONGRESSIONAL RELATIONS

The Office of Congressional Relations shall:

Advise on all Congressional matters pertinent to the activities under the direction of the Assistant Secretary; and serve as the primary point of coordination for continuing liaison with the Congress in collaboration with the Counsellor to the Secretary for Congressional Affairs.

201. Project Approvals. These are announcements of projects that have been approved sent to Congressmen, Governors, and EDA Regional Directors, as appropriate. Also included are copies of press releases, reports of telephone conversations with a congressman, copies of telegrams, and receipts for the announcements.

Retire files for one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change in the National Administration. Dispose of 3 years later.

202. Designations File. Copies of designations, approved by the Assistant Secretary, making a specified county or area eligible for EDA assistance with related reports of telephone conversations, letters to local officials and congressmen, night letters to Governors, and related records.

Retire files of one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change in the National Administration. Dispose when 5 years old.

203. Project Denials. Copies of announcements sent to Congressmen of a denial of a project by the Assistant Secretary and/or Regional Directors with related reports of telephone conversations.

Retire files to one session of Congress at the end of each fiscal year to SHA and transfer to WNRC upon a change of the National Administration. Dispose when 5 years old.

204. State Files. Correspondence with state officials and copies of replies to inquiries from a constituent referred by a Congressman.

Retire the file for one session of Congress at the end of each fiscal year to SHA. Dispose when 3 years old.

205. Congressional Correspondence Name Files. This is incoming and outgoing correspondence with Congressmen, including reports of telephone conversations. Arranged alphabetically by name of Congressmen.

Retire the files for one session of Congress at the end of each fiscal year to SHA and transfer to WNRC 1 year later. Dispose when 5 years old.

206. Operating Subject File. This is comprised of copies of reports, authoritative issuances, memorandums, and related documents created or collected by the Office. Arranged alphabetically by subject or name of individuals.

Start a new file every 2 years and retire to SHA 1 year later. Dispose when 5 years old.

207. 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.

OFFICE OF CIVIL RIGHTS

The Office of Civil Rights shall:

Advise the Assistant Secretary in the development and implementation of policy and guidance affecting equality of opportunity connected with economic development programs;

Maintain liaison with Federal, State, and local governmental organizations and with non-governmental organizations to coordinate and assist in planning operations aimed at achieving nondiscrimination and equality of opportunity;

Provide leadership, staff services and advice in matters affecting nondiscrimination to economic development program units, to organizations obligated as participants in an economic development program to achieve nondiscrimination, and to ultimate beneficiaries of economic development program activities;

Conduct, sponsor, or coordinate meetings, conferences, and training courses for equal employment specialists, program managers, and executives to achieve nondiscrimination in economic development programs;

Establish effective systems throughout EDA to obtain and monitor reports concerning the program of equality of opportunity and assure conformance thereto;

Establish report requirements to insure equality of opportunity by participants in economic development programs, conduct on-site inspections, and receive, investigate and adjust complaints;

Receive, investigate, review and adjust complaints, and evaluate EDA experience relating to the Equal Employment Opportunity program and make recommendations to the Assistant Secretary for improvement of employment practices within EDA; and

Establish uniform overview standards and procedures to be followed by the Regional Offices' Civil Rights staffs in their review of projects under Sections 101 and 201 of the Act.

208. Civil Rights Subject File. The file consists of documentation pertaining to the implementation and operation of the Civil Rights program of EDA to insure the appropriate compliance of EDA grantees or other parties involved in EDA programs. The file includes correspondence generated by the Director or Deputy Director of the office relating to the legal, organizational, and other activities of the office with departmental officials and other agencies.

Start a new file every 2 years. Bring forward active material, as required. Retire to SHA 1 year later. Dispose when 8 years old.

209. Equal Employment Monthly and Other Periodic Activity Reports. The file consists of monthly and other periodic activity reports received from Regional Offices that narratively summarize program activities for the period. The file can also include certain special non-periodic reports received.

Dispose when 10 years old.

210. Administrative Subject Files. These are office copies of papers on matters such as time and attendance, personnel, budget, space, requisitions for services, and similar housekeeping activities.

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

211. Post-Award Compliance Case Files. These are copies of investigations of projects with a final report of findings and review of the project for civil rights program compliance.

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose when 10 years old.

212. Complaint Investigation Case Files. These files consist of documentation of civil rights complaints filed by individuals or groups against EDA grantees or other parties, and findings of the office with respect to the complaints.

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose of when 10 years old.

213. Equal Opportunity Reports Under EDA Directives 7.04, 7.05, and 7.06. These files consist of pre-approval reports of the office as to the proposed compliance with EDA civil rights standards of prospective grantees or other parties. The reports are based on information furnished by the prospective grantees or other parties prior to approval of an EDA project. Many of these reports are also prepared in the Regional Offices.

Retire closed cases to SHA 5 years after closure. Dispose of 7 years after closure.

214. Ten Percent Minority Subject File. The file consists of correspondence and related documents, other than particular compliance cases, pertaining to the enforcement of the ten percent minority business requirements in local public works projects. The file includes copies of agreements with MBDA, SBA and other agencies, technical assistance contracts with private organizations, and related records.

Start a new file every 5 years. Bring forward active materials, as required. Retire to SHA 1 year later, and transfer to WNRC. Dispose of when 10 years old.

215. Ten Percent Minority Complaint and Investigation Case Files. These files consist of complaints filed by individuals or groups against EDA grantees or other parties, as to compliance with the ten percent minority business requirements, and the findings of the office with respect to the complaints.

Retire closed cases that are 5 years old to SHA at the end of every year. Dispose of when 10 years old.

216. Working Paper Files of Specialists. These files consist of extra copies of documents and other working papers accumulated by various specialists of the office pertaining to the civil rights program of EDA.

Dispose of when no longer needed for current business.

DEPUTY ASSISTANT SECRETARY FOR ECONOMIC
POLICY AND PLANNING

The Deputy Assistant Secretary for Economic Development Policy and Planning is the principal advisor to the Assistant Secretary on matters of overall EDA policy and program development, including the development, recommendation, and formulation of EDA policy, strategies, and program initiatives. In addition, the Deputy Assistant Secretary is responsible for the development and direction of an effective program of institutional capacity building to improve the ability of State and local governments and other subnational development agencies to plan and carry out economic development programs, and shall:

Define and formulate EDA policy and program development issues and direct the process of EDA policy review, coordination and evaluation.

Exercise responsibility for EDA's interagency and intergovernmental relations and its relations with those quasi-public and private agencies interested in economic development for districts and areas;

Conduct programs of research, program evaluation, and demonstration and assure that their findings are integrated within EDA's policy and program development processes.

Exercise responsibility for EDA's institutional capacity building efforts and for all policies, procedures and criteria related to the development and approval of Overall Economic Development Programs (OEDPs), investment strategies and other planning documents.

Guide, train, monitor, and evaluate the Regional Offices in their management of EDA's capacity building and planning and investment strategy policies.

Direct the eligibility determination function of EDA and the data collection and analysis activity which supports this function.

Direct the conduct of studies related to industry and industrial sector needs, growth trends, problems, and other issues.

The Deputy Assistant Secretary for Economic Development Policy and Planning shall direct and supervise the following organization elements: The Office of Development Organizations and Planning, the Office of Eligibility and Industry Studies, and the Office of Policy Evaluation and Research.

Office of the Deputy Assistant Secretary
for Economic Development Policy and Planning

217. Program Planning and Policy Coordination Subject File. The file consists of incoming and outgoing correspondence and related papers generated by the Deputy Assistant Secretary for decision-making purposes with respect to policy, planning, legal requirements, and executive direction of the operations of the Office. As such it serves to document this important aspect of the EDA economic development program including planning and local public works or other programs, coordinating intergovernmental relationships in the overall governmental economic development effort, planning for urban economic development, the designation of economic development areas or districts, and the like. The file is arranged alphabetically by subject.

Permanent. Start a new file every 3 years.
Retire to SHA 1 year later. Transfer to WNRC
2 years later. Offer for transfer to the
National Archives 20 years thereafter.

218. EDA Policy Council File. The Deputy Assistant Secretary is responsible for maintaining the record copy of the records pertaining to activities of the EDA Policy Council. This Council, which was established in 1977, consists of the top administrators and officials of EDA. It meets weekly to establish policies governing important matters facing the EDA in implementing its programs. The file consists of copies of minutes of meetings, recommendations, and background materials relating to matters under the purview of the Council. It is maintained in three-ring binders, and is arranged chronologically by meeting.

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

219. Project and Task Assignments File. This consists of copies of instructions and specific work assignments given to the various organizational subdivisions of the Office of the Deputy Assistant Secretary. Also included are copies of the papers generated by the respective subdivisions concerning each of the projects, tasks, or assignments.

Start a new file every 3 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Dispose when 10 years old.

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

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

221. Reading File. The file consists of copies of documents generated by the Office arranged chronologically.

Dispose of when 5 years old.

222. Intergovernmental Affairs Subject File. Documentation of programs conducted at all levels of government to combat economic underdevelopment and unemployment in distressed areas. More specifically, the papers described the total available program resources and how they are directed and used by other elements of government in relation to the EDA program efforts. The prime content of the file pertains to intergovernmental coordination to achieve a position where the program of one concerned agency reinforces related programs of all other agencies involved. Much of the documentation concerns coordination and integrated programming and planning multi-jurisdictional organizations. These efforts are oriented to the national picture and not restricted to the EDA mis-

sion. The papers are arranged under primary subject headings including: Commerce Staff, EDA Offices, Special EDA Research Material, Public Interest Groups, Interagency Commissions, Consultants, Other Government Agencies, State Files, Legislative and Administrative Guidelines, and others. The file is arranged alphabetically by subjects.

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

223. Government Programs Coordination Subject File. The file consists of papers of an operational nature concerning day-to-day coordination efforts in carrying out EDA programs as they relate to other government agencies also concerned with economic development. It includes materials on various projects, routine congressional correspondence, and special programs of EDA such as the Indian program, growth centers, rural development, environmental matters, revenue sharing, state and local planning, and the like.

Start a new file every 5 years. Retire to SHA 1 year later for transfer to WNRC. Dispose of when 10 years old.

224. Southern Oklahoma Development Association (SODA). Documentation of a Federal demonstration program for program development participated in by eleven Federal departments and agencies engaged in the subject area. The project is based on a memorandum of agreement between the participating agencies which designates EDA as the lead agency, and serves as an excellent model of the coordination efforts involved in carrying out a major economic development project. Arranged basically alphabetically by subject.

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

225. Model Cities Program File. Contains papers generated from the time that a city becomes interested in designation as a model city within the meaning of the program through two or three years of successful project

operation. The file includes a quantity of technical material and some record program papers. The program papers provide data on EDA policy and participation in the program which is coordinated by the Department of Housing and Urban Development. The file also includes case files on certain model cities arranged by name of city.

- a. Technical papers - Dispose when superseded or when they have served their purpose.
- b. Program papers - Permanent. Retire to SHA upon completion of the program. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

226. Committee Management File. Documentation generated by the EDA Committee Management Officer pertaining to the Administration of Committees on which EDA is represented or in which it has a special interest. Departmental interagency and advisory committees are included. More specifically, the papers deal with the evaluation, discontinuance, termination of designations and the membership of the various bodies. When a committee is discontinued, the case file is closed.

Retire closed case files to SHA at the end of every 10 years. Transfer to WNRC 2 years later. Dispose when 25 years old.

227. Working Papers File. The file consist of working papers maintained by staff members, consisting of extra copies of documents, drafts, and other working papers retained for convenience.

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

OFFICE OF POLICY EVALUATION AND RESEARCH
Policy Development and Coordination Division
(formerly OFFICE OF POLICY DEVELOPMENT AND COORDINATION)

The Chief, Policy Development and Coordination Division has the responsibility to:

Serve as the principal adviser to the Deputy Assistant Secretary for Policy and Planning on all policy matters affecting the mission, objectives and goals of EDA;

Develop, recommend and coordinate the formulation of overall EDA policy strategy, including policy related to the budget process;

Exercise principal staff responsibility within the Agency for policy review and evaluation;

Define EDA policy and program development issues and coordinate the formulation and preparation of such issues for consideration by the Assistant Secretary and the Agency's policy leadership;

Review and evaluate for policy implications those legislative and administrative proposals related to economic development and intergovernmental relations;

Prepare legislative testimony on existing and proposed EDA programs and other economic development issues as requested;

Develop policy proposals for improving Federal, State, and local government economic development programs;

Assist and coordinate the various EDA program units in their policy development efforts; and

Exercise responsibility for EDA policy concerning its relations with other units within the Department, with Congress and other Federal agencies, as well as its relation with those quasi-public and private agencies interested or involved in economic development.

228. Policy Development and Coordination Subject File.
The File consists of materials maintained by the Director and immediate assistants documenting the basic function of policy development and coordination. It covers such matters as: presentation of policy options to the EDA Policy Council; maintaining relationships with other governmental agencies concerned with economic development; development of the National Development Bank; overcoming capital gaps; urban problems; rural development activities; coordination of EDA representation on committees; legislative proposals; liaison with the Office of Management and Budget; and review of proposed policy statements and the like. The file, in effect, provides documentation of the activities involved in formulating

or reviewing policy options for the various economic development programs carried out by EDA. Arranged alphabetically by subject.

Permanent. Break file every 3 years and bring forward active materials to the new file. Retire to SHA 1 year thereafter. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

229. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel actions, budget, space, requisitions for services or supplies, and similar housekeeping activities.

Dispose when 2 years old.

230. Chronological File. The file consists of a copy of documents prepared in the Office, filed by date.

Dispose of when 3 years old.

231. Technical Reference File. Contains printed or processed copies of background materials pertaining to economic planning and development matters received in the Office from outside sources.

Dispose of when no longer for current business.

232. Policy Study Files. These files reflect studies undertaken by staff members or by contractors covering particular economic problems for which policy options typically regarding possible EDA programming are under consideration. The files consist of such materials as, data gathered on the problem, tabulation and analysis papers, and copies of reports or recommendations developed as a result of the study, together with related correspondence and other papers. A copy of the final results is retained in another file.

- a. Working papers and background data - Dispose of upon completion of study or when essential information is tabulated.

- b. Other records - Retire to SHA 1 year after essential information is tabulated and analyzed. Transfer to WNRC 2 years thereafter. Dispose 5 years thereafter.

233. Study Reports and Recommendations - Record Copy File. The file consists of a record copy of published or unpublished reports or recommendations resulting from carrying out policy studies as required. This collection, arranged by title of study, documents the background and rationale of the EDA policy decisions made, based upon the options presented by the study results.

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

234. Staff Member Working Paper Files. These files consist of extra copies and other working papers maintained by individual policy analysts or other staff members for convenience in completing assigned responsibilities.

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

OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING
(formerly, OFFICE OF DEVELOPMENT ORGANIZATIONS AND
OFFICE OF PLANNING AND PROGRAM SUPPORT)

The Office of Development Organizations and Planning shall:

Have responsibility for policy and program development related to EDA's subnational economic development planning and capacity building programs under the Office of Development Organizations and Planning.

Manage and oversee the administration of all EDA institutional capacity building and planning grant programs for States, cities, Districts, counties, neighborhoods, metropolitan areas, and Indian tribes.

Oversee the implementation of policies and procedures for developing, processing, and monitoring planning grants to States, cities, Districts, counties, neighborhoods, metropolitan organizations, and Indian tribes, and provide appropriate guidance to the Regional Offices in carrying out these functions.

Develop policies, procedures, and allocation strategies for all EDA planning grant programs, including program guidelines, objectives and performance criteria for EDA's Operational Planning and Control System.

Provide assistance to the Regional Offices in linking EDA supported planning to the investment decision process of EDA and its State and local clientele.

Develop policies and procedures related to establishing and strengthening subnational economic development institutions and organizations.

Establish policies and criteria which must be followed by EDA grantees in developing their economic development planning processes and documents.

Provide guidelines concerning the need for specific skills in the planning function and provide advice, as requested, regarding the selection of Regional Offices' staff capabilities responsible for EDA planning and capacity building activities.

Provide guidance and necessary training for Regional Office personnel in the management of EDA's planning and institutional capacity building efforts.

Provide advice and guidance to the Regional Offices on problems encountered in interpreting and applying EDA policies related to institutional capacity building, planning, and OEDPs/investment strategies.

Advise the Regional Offices in the development of procedures to monitor and evaluate the planning activities and outputs of States, cities and towns, counties, Districts, neighborhoods, metropolitan organizations, and Indian tribes.

Monitor and evaluate the Regional Offices for their effective implementation of EDA policies related to institutional capacity building and the development of OEDP's, investment strategies and other economic development planning documents, including objectives established through EDA's Operational Planning and Control System.

Advise the Deputy Assistant Secretary for Economic Development Policy and Planning concerning approval of OEDP's, investment strategies, and other planning documents originating at the Regional Office level.

Exercise responsibility for activities related to inter-agency coordination of policies, programs, and requirements related to economic development planning.

Office of the Director

235. Development Organization Program Subject File. Documentation created by the Director and Deputy Director to design and direct a program for multi-county development districts, policy guidelines, and criteria for development districts, evaluation of development organizations and guidelines to regional offices for the administration of planning grants.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 1 year later. Dispose when 10 years old.

236. Special Reports. These are special reports prepared by members of the EDA staff and private firms evaluating or proposing improvements in the district and regional programs. Many of such reports propose generic-type improvements in local government operations that could have significance beyond the particular local area concerned. Arranged by title.

Permanent. Retire to SHA when 10 years old. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

237. Administrative Subject File. These are housekeeping papers consisting of budget, personnel actions, requisitions for printing, equipment and supplies, time and attendance reports, travel, and the like.

Dispose when 2 years old.

238. Technical Reference File. Contains processed copies of papers on the program made by the states in organizing multi-county development districts or areas.

Dispose of individual documents or the contents of individual file folders when superseded or when they have served their purpose.

OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING
District Program Management Division
(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS
Program Support Division)

239. Program Subject File. Contains documentation created by the Chief pertaining to the internal operations of the Division and standards, guidelines, procedures and other instructions on the administration of grants. These papers are essentially duplicated in the project case files and elsewhere.

Dispose of individual documents or contents of individual file folders when 1 year old or when superseded, whichever is sooner.

240. State, District, and Area Grant Project Case Files. This is the official record copy of the planning grant project case files containing copies of all official determinations and data created during the preapproval period of the project and copies of the application, grant offer (approval), grant with special terms and conditions of grant, if any; and any other legal documents necessary. Also included are all official correspondence, staff recommendations and documentary evidence required of the grantee. Grants are made to assist local governments and organizations in defining economic development districts and in organizing and planning development organizations to evaluate depressed economic conditions. The normal term of a grant is usually one year. However, a number of grants are continued for various periods when there is a justification for doing so. In each case a new agreement is made to cover the continuation. A continuation is identified by the same project number as the digit(s), thus the relationship between the original project case file and any continuations flowing therefrom is maintained through the devices of the project case file number with added distinctive terminal digits.

In some cases, the grantee has money that must be returned to the government when his grant has run full term; in these cases, the case is not closed until such monies have been returned and required audit report has been submitted. All cases are closed upon the receipt of the required audit report which document the financial management and performance under the grant.

- a. Cases generated during or before FY 1978 - Retire closed cases to SHA 3 years after closure. Transfer to WNRC 2 years later. Retain samples (See Page 166). All others - Dispose 15 years after closure.
- b. Cases generated after Fy 1978 - Dispose of closed cases 5 years after closure.

241. Designations File. These are record copies of designations of development districts approved by the Assistant Secretary for Economic Development. These are the instruments creating economic development districts entitled to the full range of EDA assistance. Arranged by district.

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.

242. Budget File. This contains office budget submissions with supporting instructions and copies of work papers, laws and other pertinent regulatory material. Also included are copies of the EDA budget submissions in appropriation hearings, and the like.

Dispose when 10 years old or when superseded, whichever is sooner.

243. State Information File. This consists of incoming and outgoing correspondence from various dignitaries, state and Federal officials requesting information concerning the status of programs, and requesting information needed for pre-project approval planning. The papers are arranged by state, thereunder chronologically.

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

244. Accounting Record (ED-74 or equivalent). These are copies of a form accounting record used by the Accounting Division to input new data in the computer. When errors or new data exists, the Accounting Division is notified by telephone and the record is corrected there. These records are prepared on the computer.

Dispose when superseded.

245. Monthly Project and Status Report (CO-1 or equivalent). This report covers only pending and approved planning grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and the approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of grant; anticipated employment and payroll; cost breakdown; major processing steps and days required for each step; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

- a. Retire September 30 issue to SHA when 2 years old, and transfer to WNRC 2 years later. Dispose when 6 years old.
- b. Monthly issues - Dispose when superseded by next issue.

246. Bi-Weekly Area Listing (BO-4(5)). This report covers only planning grants. Its main purpose is to reflect the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

- a. Retire September 30 issue to SHA when 2 years old and transfer to WNRC 2 years later. Dispose when 6 years old.
- b. Bi-weekly issue - Dispose upon receipt of next issue.

247. Monthly Project Narrative (PG) Changes. A cumulative one-page narrative summary of area and project information. Issued on a project-by-project basis for those planning grant projects that have had changes or updated data submitted within the past month.

Dispose when superseded by next issue.

OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING
Program Development Division
(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS
Program Development Division)

248. Public Service Careers Subject File. Documentation on this completed program generated by the Chief pertaining to the planning and organization of economic development districts, and the establishment of development organizations as vehicles for the delivery of EDA assistance to provide training programs for public service careers as a means of improving the economy in depressed areas. Also included are papers relating to liaison and coordination with other government agencies and private organizations having program and prime interests in the same field. Interspersed in the file are papers that have general application to the construction of training projects and programs. Some of these are in the form of narrative or trip reports. The papers are arranged by subject.

Permanent. Retire to SHA 2 years after completion of program audit. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

249. Budget File. These are papers created by the Chief and his immediate assistants concerning the preparation and submission of annual budget justifications for public service careers training programs and to allocate planning grant funds to various regions. Also included are papers on funding and reporting plans for use of development organization consistent with the need to streamline and reduce administrative burdens on grantees.

Dispose when 10 years old.

250. Public Service Careers Project Case Files. These cases of this completed program document grants made to organizations to provide assistance in recruiting and training disadvantaged persons for non-federal public service careers that will upgrade their income and job category.

These are the record copies of the case files containing documentation including the grant offer, application, agreement, copies of staff correspondence, program reports, requests for disbursements, and final reports.

These projects are funded through an agreement with the Department of Labor. Cases are closed upon receipt of a final audit report and return of any funds due the Government.

Retire closed cases to SHA 2 years after completion of program audit. Transfer to WNRC 1 year later. (a) Retain samples (See Page 166);
(b) All others - Dispose 15 years after completion of audit.

251. Professional Services Grant Case Files. The files reflect grants made to designated economic development districts under Section 302b(1) of the Act to provide specific services through hire of specialists to address particular economic problems such as energy, industrial development, and the like.

- a. Grants made during or prior to FY 1978 - Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years thereafter. Dispose of 15 years after closure.
- b. Grants made after FY 1978 - Dispose of closed cases 5 years after closure.

252. OMB Circular A-95 Grant Case Files. The case folders document grants made to designated economic development districts that are serving as State-designated area clearing houses for review of proposed grants as specified under OMB Circular A-95. Such grants made under Section 302b(2) of the Act to provide some form of recompense to the districts for administering the A-95 review process.

- a. Grants made during or prior to FY 1978 - Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years thereafter. Dispose of 15 years after closure.
- b. Grants made after FY 1978 - Dispose of closed cases 5 years after closure.

253. Denied or Withdrawn Professional Services or OMB Circular A-95 Grants. These files consist of applications and other related papers pertaining to denied or withdrawn grants for professional services or OMB Circular A-95 funds.

Dispose of 3 years after final determination to deny, withdraw, or take no action on proposed grant applications.

254. Program Development Subject File. The file documents the Division's activities in developing various economic development programs for development organizations (districts). These programs can involve such proposals as identifying various resources available to the districts or working with Federal agencies, and the like. Among the subjects included are Excess Property Dissemination; Circular A-95 Responsibilities, both internal EDA and Department-wide; Professional Services and A-95 Grant Programs; and Special Projects, such as those covering older workers, industrial development, energy, export trade development, technology transfer, and the like.

Break file every 5 years. Move active materials forward. Retire to SHA 2 years later. Transfer to WNRC 2 years thereafter. Dispose of when 15 years old.

255. Annual Survey of Economic Development Districts. The file consists of materials pertaining to the annual query made of economic development districts to submit reports on activities undertaken, including request papers, replies, and background materials.

Retire to SHA when 10 years old. Transfer to WNRC 1 year later. Dispose of when 15 years old.

256. Final Annual Economic Development District Survey Report. The file consists of the record copy of printed summaries of the activities reported by individual economic development districts each year from 1965 to date. Arranged by year.

Permanent. Retire to SHA when 10 years old.
Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

257. Final Narrative Reports of Professional Services Grants. These published and unpublished reports resulting from professional services grants document the research efforts from the grant. These reports cover such matters as a proposed demonstration manual for capital budgeting by cities or counties which could have widespread application throughout local governments; a manual on how to establish water control laboratories; or proposed procedures for dealing with environmental considerations in industrial development, and the like. The file is arranged by title.

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

OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES
Qualifications Division
(Formerly OFFICE OF DEVELOPMENT ORGANIZATIONS
Qualification Division)

258. Operating Subject File. These are copies of papers created or collected by the Chief of the Division having general application to the criteria and requirements of the program. These copies are maintained to facilitate his decision-making and a copy of all papers herein having any significant value is maintained in the official file.

Dispose of individual documents or the contents of individual file folders when 5 years old or when superseded, whichever is sooner.

259. State Files. Contains material submitted by applicants in the pre-project approval period pertaining to the qualifications of the area. Also included are incoming and outgoing correspondence pertaining to the applicants proposals. The papers are arranged first by state thereunder chronological.

Start a new file every year. Bring forward active materials. Retire to SHA when 2 years old. Transfer to WNRC 2 years later. Dispose when 10 years old.

260. County File. Documentation of the qualifications of areas for designation including copies of Overall Economic Development Programs, reports, correspondence with notifications of qualification or disqualification, and designation papers. The documents are arranged by state thereunder by county.

Start a new file at the end of every 3 years. Bring forward active materials. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose when 10 years old.

261. Other Government Departments. These are reports of recommendations on the qualifications of areas and Indian reservations based on source data and findings of the Departments of Agriculture, Interior, and Labor.

Start a new file every 5 years. Bring forward active materials. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose when 10 years old.

262. Annual Review File. Documentation of an annual review of the qualifications eligibility of areas for designation to receive EDA assistance under the Public Works and Economic Development Act of 1965 with related papers.

Retire to SHA when 5 years old, transfer to WNRC 1 year later. Dispose when 10 years old.

263. Overall Economic Development Program Plans. This is a record set of two copies of each Overall Economic Development Program plans submitted to EDA. These program plans describe the economic, employment, and business conditions prevailing in the area and specify the type of assistance needed with an evaluation of potential economic growth in the area. Arranged by district.

Permanent. Retire a set of two copies of each plan to SHA every 3 years. Transfer to WNRC 1 year later. Offer for transfer to the National Archives 20 years thereafter.

OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES
(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT
and OFFICE OF DEVELOPMENT ORGANIZATIONS)

The Office of Eligibility and Industry Studies shall:

Assemble, analyze, evaluate and maintain statistical data on unemployment, income, migration, and other criteria for the purpose of determining eligibility of geographic areas and private businesses for assistance under the PWEDA of 1965 and the Trade Act of 1974.

Collect and analyze socio-economic data necessary for effective EDA program development and resource allocation, and provide general statistical support for EDA program management activity.

Conduct studies for the economic problems of industries and industrial sectors; analyze industrial growth trends and work force characteristics; and design and maintain an industrial location system which can match growth industry needs to distressed area resources.

Undertake all activities assigned to EDA that pertain to the certification of firms and communities under the Trade Act of 1974.

Obtain from other Federal agencies data and analytic support necessary to fulfill EDA's statutory eligibility determinations, data collection and analysis, industry studies, and import monitoring responsibilities.

Office of the Director

264. Program Planning and Support Subject File. Documentation created or collected by the Director or immediate staff pertaining to the program planning and support responsibilities as assigned. The file concerns such matters as committees and conferences, industry studies, Trade Act Support, area profiles, guidelines and reviews of Overall Economic Development Program Plans, urban and staff planning program, Regional coordination, trade, impacted industries, and the like. Arranged alphabetically by subject.

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.

265. Guidelines and Criteria File. Documentation of guidelines and criteria for the designation of areas eligible to receive EDA assistance, revenue sharing, migration of the unemployed, organization structures for the Office of Program Planning and Support, speeches, and related papers.

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.

266. Positive Action Program Files. The file consists of materials relating to the former positive action program, which concerns the designation of growth centers to aid in the economic development of a district by consolidating the economic advantages of several counties.

Dispose of when 10 years old.

267. Administrative Subject Files. These are office copies of housekeeping papers on applicants, budget, emergency readiness, management intern program, Whitten review, space, requisitions, time and attendance, personnel actions, travel, and the like.

Dispose when 2 years old.

268. Chronological File. The file consists of copies of documents prepared or signed in the Office, filed by date.

Dispose when 3 years old.

OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES

Industry Studies Division

Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT

Industry Studies Division

9

265. Industry Case Files. These contain the request from Office of Business Development or Office of Public Works for a study of the specific project for an industry (company or corporation). The Act requires that a study be made to ascertain that an applicant industry does not have surplus capacity before it receives EDA assistance. The case also contains a copy of the Industry Division's study, findings, recommendations, and any related papers, if any. The cases for individual companies are arranged by Standard Industrial Classification number thereunder alphabetical

by the name of the company. Cases are closed when the related EDA project is approved, denied, or withdrawn.

Retire closed cases to SHA 5 years after closure of the case, and transfer to WNRC 2 years later.
(a) Retain samples (See Page 166); (b) All others -
Dispose 25 years after date of closure.

270. Industrial Location Service Files. This file includes questionnaires, correspondence, and area industry matching materials concerning information obtained from EDA designated areas and districts that is used to determine the industrial location characteristics of communities seeking new industrial growth.

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

271. Basic Data Files. Basic data documentation collected from non-governmental sources. The file also contains copies of basic data on industries collected from Federal and local government sources. A significant quantity of the material is selected from the Census of Manufacturers, Department of Agriculture and Department of Interior publications and documents.

Dispose when superseded or when 5 years old, whichever is sooner.

272. General Industry Correspondence File. This file contains incoming and outgoing correspondence having general application to the area of the Division's expertise. The file does not contain papers pertaining to individual industry cases.

Start a new file every year. Move active material forward. Dispose of previous year's materials when 2 years old.

273. State Industry File. This contains information describing current industrial development activities by state.

Dispose of individual documents or contents of individual file folders when superseded.

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

Dispose when 2 years old.

275. Trade Monitoring System Files. The file consists of computer printouts providing employment, geographic location, and other data on industrial plants throughout the United States. Updated quarterly.

Dispose of when superseded or when 5 years old, whichever comes sooner.

276. Staff Working Paper Files. Technical reference materials, publications, convenience copies of documents, drafts, and other working papers maintained for convenience of office operations by various members of the Division.

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

OFFICE OF DEVELOPMENT ORGANIZATIONS AND PLANNING
State and Urban Program Management Division
(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT
Program Planning Division)

277. Program Planning Subject File. The file consists of materials pertaining to the program planning function such as records concerning guidelines for preparation of District Overall Economic Development Programs (OEDPs), with related critiques of the program and recommendations regarding their approval, and materials on regional coordination, state and urban planning programs and projects under Section 302a, and the like.

Start a new file every 5 years. Retire to SHA 2 years later. Transfer to WNRC 1 year later. Dispose when 10 years old.

278. Requests for Growth Center Designations and Boundary Changes. These are requests for the establishment of Growth Centers and for changes in boundaries with supporting

papers justifying the request. Also included are recommendations, approvals or rejections of the request. The record copy of these records is maintained in the Office of Development Organizations.

Dispose when 3 years old.

279. Section 302a Economic Development Urban Planning Program Grant Case Files. These case files consist of urban planning grant case files under Section 302a containing copies of all official determinations and data created during the preapproval period of the project and copies of papers pertaining to the grant and related records. Also included are annual reports of the grantee, correspondence, staff recommendations, and documentary evidence required of grantees, who typically obtain the moneys for a one year period.

Retire closed cases to SHA 3 years after closure. Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose of when 15 years old.

280. District Overall Economic Development Program Files. This is a record set of one copy of each Overall Economic Development Program submitted by designated districts at the time that the district is designated. These files are arranged by district, and reflect the overall plans for economic development as approved for the district.

Permanent. Retire to SHA upon termination of program. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

281. Annual Update of OEDPs. After transmission of the first program submitted, each district is required to submit an annual report or updated Overall Economic Development Program for review and approval. There is a record set of one copy of each program. As economic or other conditions change, revisions are required to maintain the program plans in a current status, and such revisions or reports are received annual. The files are arranged by districts.

Permanent. Retire to SHA upon termination of program. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

282. Administrative Subject File. These are office copies of housekeeping papers on budget, space, time and attendance, personnel, requisitions, travel, and similar housekeeping activities.

Dispose when 2 years old.

283. Chronological File. These are extra copies of documents prepared in the Division and filed by date.

Dispose when 3 years old.

284. Staff Working Paper Files. Technical reference materials, publications, convenience copies of documents, drafts, and other working papers maintained for convenience of office operations by various members of the Division.

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

OFFICE OF ELIGIBILITY AND INDUSTRY STUDIES
Trade Act Certification Division
(Formerly OFFICE OF PLANNING AND PROGRAM SUPPORT
Trade Act Certification Division)

285. Trade Act Certification Case Files. These case files reflect the determinations made by the Division as to the eligibility of domestic firms or communities that have applied for certification of eligibility for adjustment assistance under the Trade Act of 1974. These include certified, decertified, withdrawn, denied, or terminated cases. The file is arranged alphabetically by name of firm or community.

Retire to SHA 3 years after determination of action upon application. Transfer to WNRC 2 years later. Dispose when 8 years old.

286. Case Control Logs. These are logs maintained for control or reporting purposes in processing Trade Act certification application cases.

Dispose of when 10 years old.

287. Trade Act Subject File. The file consists of materials of a non-case nature pertaining to the administration and operation of the Trade Act Certification program. The file includes such subjects as: Legislation, Opinions, Conferences, Adjustment Assistance and Import Relief, CIEF Task Force Study, Adjustment Assistance Advisory Board, Office of the Special Trade Representative, Energy, Earthenware, Textiles, Mushrooms, and Loans. Arranged alphabetically by subject.

Move active files forward and dispose of all others when 10 years old.

288. Section 264 Industry Study Files. These files consist of materials pertaining to studies made in accordance with Section 264 of the Act. They relate to investigations made by the International Trade Commission. They involve making determinations as to the number of firms in a particular domestic industry likely to be certified as eligible for adjustment assistance under the Act, and the extent to which adjustments of the firms to import competition may be facilitated by use of existing programs. Copies of reports published as a result of such studies are also maintained by the EDA Office of Public Affairs.

Dispose of 5 years after completion of study.

289. International Trade Commission (ITC) Reports. The file consists of published reports of the ITC received in the office on the status of various industries.

Dispose of when no longer needed for current business.

290. ITC Industry Data Files. The files consist of data on individual firms obtained by ITC and transmitted to the office.

Dispose of 6 months after date of record received.

291. Inquiry File. The file consists of inquiries received from the public or private sector regarding the Trade Act Assistance Program, and copies of replies thereto.

Dispose of when 3 years old.

292. Chronological Files. The files consist of copies of documents prepared in the office, and related records, filed by date.

Dispose of when 3 years old.

293. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel, requisitions for supplies or other services, budget, and other similar housekeeping activities.

Dispose of when 2 years old.

294. Staff Working Files. The files consist of working papers, maintained by individual staff members, such as materials on pending matters and extra copies of documents, drafts, or other working papers maintained for operational needs.

Dispose of when no longer needed for current business.

OFFICE OF POLICY EVALUATION AND RESEARCH
Research Division
(Formerly OFFICE OF ECONOMIC RESEARCH)

The Research Division shall:

Direct and conduct a program of internal and external economic research designed to meet both planning and operating needs and concerned with economic development problems and opportunities for geographical subdivisions (e.g., regions, development districts, redevelopment areas, etc.);

Arrange for and monitor EDA-sponsored research conducted by other elements of the Department, other Government agencies, or private organizations;

Encourage and stimulate research and data collection on economic development, both in and out of Government;

Review, evaluate, integrate, and disseminate (a) the results of research sponsored by EDA: and (b) current methodological and other research findings wherever generated that are relevant to EDA's objectives and programs;

Maintain a central reference collection of economic development materials; and

Study and evaluate the effects of Government policies on sub-national economic development.

295. Research Program Subject File. The file consists of materials generated or collected by the Director, Deputy Director, or their immediate assistants pertaining to specific programs in operation and to those under development on which the office may make a contribution. The papers are arranged alphabetically under such subjects as EDA Act, EDA directives system, family assistance plan, listing of management information reports, research program research review, and the like. The file provides basic documentation of the overall economic research program of the EDA undertaken through grantees, or contractors, or others.

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

296. Organization Correspondence File. This contains incoming and outgoing correspondence with private organizations and other government agencies relating in general to the research program conducted by the office. The file also contains copies of articles and other presentations prepared by the staff which often contained new ideas with a potential for future development.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 10 years old.

297. National Growth Policy File. These are papers on problems of whether it is feasible for EDA to attempt stimulation of the lagging local economies or to provide the means and incentives for the unemployed to commute or migrate to areas with job opportunities. They also relate to how the EDA program ties in with other Federal programs, EDA policy recommendations, insofar as they have been surfaced, or documented in the file.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 2 years later. Dispose when 10 years old.

298. Administrative Subject File. These are office copies of housekeeping papers on applicants for jobs, personnel actions, position classifications, requisitions for services, time and attendance, travel, and the like.

- a. Applications for employment - Send successful applications to the Office of Personnel. Return unsuccessful applications to sender.
- b. All other records - Start a new file every 2 years, and dispose when 2 years old.

299. Budget File. This contains copies of the EDA budget submissions and supporting papers for the research program.

Dispose of individual documents or contents of individual file folders when superseded or when 5 years old, whichever is sooner.

300. Research Grant Project Case Files. Grants are awarded for research projects or impact at the regional area level. The case file contains a copy of the application, agreement, recommendations, and related correspondence.

The record copy is maintained at headquarters in Washington and there is no skeleton or duplicate copies kept in regional offices. Regional offices do not participate in the preparation or administration of research grants.

The normal term for research grants is 12 months, however, occasionally a grant is extended for another 12 months. In these cases a new project case file is opened for the extension which is identified by the first three digits and a letter of the project case file number. Except in unusual cases, a final substantive report is submitted within 45 days after the terminal date of the grant. Cases are closed upon approval of the final report.

Retire closed cases to SHA at the end of every year, transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 15 years after closure.

301. Research Contract Case Files. These are record copies of contracts awarded to qualified private institutions and organizations for research projects. The case file contains a copy of the contract and any amendments and modifications thereto with related papers pertaining to the content of the project, status and payments as prescribed in the contract. The case also includes a copy of the approved final report. Although a fiscal contract case file on each research contract is maintained in the Procurement Division, Office of Administrative Services and Procurement, it does not duplicate these case files which contain primarily all of the authoritative program papers. Cases are closed upon receipt and approval of the final report.

~~Retire closed cases to SHA at the end of every year, transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 15 years after closure.~~

302. Proposals File. These are copies of solicited or unsolicited proposals submitted in pursuit of a contract award or which no action has been taken.

Dispose of individual documents when superseded or when 3 years old, whichever is sooner.

303. Consultants File. These are requests from qualified organizations and individuals to be put on the list of consultants available to the office for research work.

Dispose of papers when the requestor is dropped from the list.

304. Committees, Commissions, etc., Papers. These are papers of committees, commissions, and similar bodies on which the office is represented or in which it is particularly interested in. They also include records of the National Public Advisory Committee on Regional Economic Development and its biographical materials.

Retire to SHA 1 year after there is a change of Director and transfer to WNRC 1 year later. Dispose when 10 years old.

305. Discussion Papers. These are studies or reports, typically unpublished, generated for discussion with EDA officials, as a by-product of fulfilling the performance requirements of grants or contracts awarded for economic research studies. As such, they serve as supplementary documentation of the expenditures of EDA funds for economic research projects. Arranged by name of grantee or contractor thereunder by title.

- a. Record set - 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.
- b. All other copies - Distribute when requested, or dispose of when 10 years olds, whichever is sooner.

306. Grant and Contract Final Reports. This is a record copy set of one copy of the final reports produced to satisfy the requirements of research grants or contracts let to universities, contractors, or others, and serves as the basic documentation of the funding of economic research by EDA. Arranged by assigned number.

Permanent. Retire to SHA when no longer needed for current business. Transfer to WNRC 3 years later. Offer for transfer to the National Archives 20 years thereafter.

307. Staff Working Paper Files. The files consist of technical reference materials, publications, convenience copies of documents, drafts, and other working papers maintained for convenience of office operations by individual staff members of the Office.

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

307a. National Public Advisory Committee on Regional Economic Development - See Addendum, page 169, for item 307a.

DEPUTY ASSISTANT SECRETARY FOR ECONOMIC
DEVELOPMENT OPERATIONS

The Deputy Assistant Secretary for Economic Development Operations, through the offices reporting to him, shall:

Provide coordinated direction of all EDA activities related to financial assistance for or to physical projects which will improve local economies and supervise the execution of this aspect of EDA's program;

Recommend standards, policies, and criteria for the technical evaluation and processing of project applications for financial assistance, including public works grants and loans and technical assistance, except with respect to the Development Finance Program;

Direct, conduct, coordinate, monitor, and where applicable, originate technical assistance projects (including management assistance and feasibility studies) subject to coordination with the Deputy Assistant Secretary for Economic Development Policy and Planning on proposed technical assistance projects related to area, district or center planning;

Review and recommend approval or denial of project applications except all projects under Section 101 and 201 of the Act, which do not require special action. (Projects requiring special action are those which are called to Washington for purposes of monitoring, involve controversial aspects, or -- for example -- require an environmental impact statement which must be approved by the Special Assistant for Environmental Affairs.)

Evaluate activities of the Regional Offices in applying policies, standards, and procedures for processing project applications to assure efficient, effective, and economical accomplishment of approved projects;

Execute agreements with other Federal departments and agencies for the conduct of specialized technical assistance; and

Study and evaluate the manpower development and training needs of redevelopment areas of an economic development district, and recommend appropriate joint action with the Departments of Labor and Health and Human Services.

The Deputy Assistant Secretary for Economic Development Operations shall direct and supervise the following organization elements: The Office of Program Operations, the Office of Special Adjustment Assistance, the Office of Public Investments, and the Office of Technical Assistance, and such special programs as the Local Public Works Program and others.

Office of the Deputy Assistant Secretary
for Economic Development Operations

308. Economic Development Subject File. Documentation generated by the Deputy Assistant Secretary and staff in the course of executive direction of all types of EDA projects so as to apply resources in a manner that will on balance consider all factors involved and achieve objectives and results specifically designed to alleviate the local economic underdevelopment and/or unemployment. These are policy papers arranged alphabetically under such subjects as: Coordinated Regional Development, Definitions of Economic Development, Designation Criteria, Equal Opportunity, Environment, Highlight Reports, Industrial Parks, Energy Program, Excess Property, Loans Rates, Regional Commissions Meetings, Policy EDA, Pollution, Potential Processing Reports, Spanish-Speaking People, Status Report Case, and Weekly Activity Reports.

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

309. RESERVED

310. Administrative Subject File. These are office copies of papers pertaining to budget, personnel, time and attendance, overtime, travel, requisition and purchase orders, and other housekeeping papers.

Dispose of when 2 years old.

Economic Adjustment Assistance
~~OFFICE OF SPECIAL ADJUSTMENT ASSISTANCE~~
(formerly Title IX Program)

The Office of Special Adjustment Assistance shall:

1. Direct and oversee the operation of the Title IX economic dislocation program to assure timely and uniform implementation nationwide.
2. Develop policies and procedures for implementation of the program.
3. Coordinate EDA's economic adjustment assistance activities with other Federal Departments and Agencies, e.g., Department of Defense (Economic Adjustment Committee), HUD (FDAA), Coastal Zone Management.
4. Provide immediate technical assistance to an area when a dislocation occurs (assessment of the problem, possible solutions, etc.) and direct assistance to potential applicants in preparing proposals.
5. Review proposals and prepare recommendations to the Deputy Assistant Secretary for Economic Development Operations prior to authorization of formal applications.
6. Conduct final processing and review of projects.
7. Assist Regional Offices on individual projects, both during the application development phase and after project approval. Post approval assistance will include project oversight taking into account program and policy compliance and appropriate measures to correct noncompliance.
8. Evaluate program performance.
9. Ensure that sudden and severe economic dislocation (SSED) projects are coordinated with other Federal assistance to impacted areas.
10. Prepare special reports, briefings, briefing materials and other information for Congressional offices, prospective applicants, public interest groups, etc.

311. Special Adjustment Assistance Program Subject File. This central file maintained by the head of the program documents this special grant EDA program to help communities requiring economic assistance grants because of dislocations from plant closings, defense base closings, natural disasters, explosive growth such as energy "boom-towns," structural unemployment, and the like. The file is arranged alphabetically by such subjects as Environmental Adjustment Problems, Defense Base Closings, Employee Stock Ownership Trusts, Long-term Economic Deterioration, Trade Adjustment, Impacted Industries, and the like.

Permanent. Start a new file every 3 years. Bring forward active materials. ~~Retire to SHA 1 year later.~~ Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

312. Administrative Subject File. These are office copies of papers reflecting the administrative or housekeeping activities such as budget, personnel, travel, time and attendance, overtime, requisitions and purchase orders, and other housekeeping papers.

Dispose of when 2 years old.

313. Special Adjustment Assistance Development Planning Grant Case Files. These headquarters duplicate case folders cover grants made to public entities for planning an economic adjust-

ment strategy to cope with various types of economic dislocations covered by legislation. These planning grant cases, typically of six months duration, consist of such records as applications, civil rights documents, grant offer, special and general terms and conditions, a final report outlining the proposed economic dislocation adjustment strategy, and related records.

Retire to SHA 1 year after closure. Transfer to WNRC 1 year thereafter. Dispose of 5 years after closure.

314. Special Adjustment Assistance Implementation Grant Case Files. These headquarters duplicate case files cover grants made to public entities for implementing an approved economic adjustment strategy to cope with various types of dislocations covered by legislation. These implementation grant cases, which are often open-ended in duration, consist of such records as environmental statements, project profiles, civil rights documentation, grant agreements, grant offers, special and general terms and conditions, annual reports on activities, and related records.

Retire closed cases to SHA 1 year after closure. Transfer to WNRC 1 year later. Dispose of 10 years after closure.

315. RESERVED

OFFICE OF PROGRAM OPERATIONS
(formerly Comprehensive Economic Development Strategy Group)

The Office of Program Operations shall:

Develop and oversee policy and procedure to assure that EDA's program tools are used in a coordinated and integrated manner in support of a place oriented approach to development.

Develop policy and procedures for preparation, review, acceptance and monitoring of local Investment Strategies that can serve as the basis for investment decisions by EDA and other public and private entities.

Work closely with all EDA program offices and other administrative offices as appropriate in development and implementation of policies and procedures which govern Office of Program Operations activity; and provide a liaison between these offices and the Deputy Assistant Secretary for Economic Development Operations on all other matters related to place oriented approaches to development.

Work with other Federal, State and regional agencies involved in local development activities in the development of policies and procedures which will facilitate the coordinated implementation of multi-agency investments at the local level; and carry on liaison between the organizations under the Deputy Assistant Secretary for Economic Development Operations in implementation of its program responsibilities, obtaining their support for local Investment Strategies and assuring their input into EDA policy development as appropriate.

Serve as liaison between Regional Office Directors and the Deputy Assistant Secretary for Economic Development Operations on matters related to the integrated use of EDA tools on a place oriented basis, including the review of Regional Investment Strategies; and provide guidance to the Regional Directors in implementing policies and programs reflecting a place oriented approach to development.

Serve as liaison between the organizations under the Deputy Assistant Secretary for Economic Development Operations and public interest groups and other private sector organizations on all matters concerned with a place oriented approach to development.

316. Program Operations Subject File. The file consists primarily of subject correspondence and related records involving the cross-office coordination activities of the Office of Program Operations concerning such economic development activities of EDA as public investments, technical assistance, long term economic deterioration, sudden and severe economic problems, and the like. In addition, the file reflects activities relating to the former Comprehensive Economic Development Strategy (CEDS) planning program as well as overall administrative management activities relating to the responsibilities of the Deputy Assistant Secretary for Economic Operations.

Retire to SHA after 3 years. Transfer to WNRC 1 year later. Dispose of when 15 years old. (Item 5, NC1-378-81-1)

317. Administrative Subject File. This file consists of office copies of materials pertaining to such internal housekeeping matters as time and attendance, budget, personnel, travel, requisitions for supplies, equipment, and services, and similar housekeeping matters.

Dispose of when 2 years old.

318. CEDS Demonstration Location Files. The files consist of materials on the efforts at the 37 demonstration locations to prepare the Comprehensive Economic Development Strategies necessary to provide for more effective use of available economic development monies. For each location, the files include computer printouts, monthly and other types of reports, planning materials, operating materials, materials on investment strategies, and related correspondence.

Retire to SHA upon completion of the demonstration program or termination of the effort at a particular location, whichever comes sooner. Transfer to WNRC 1 year later. Dispose of when 15 years old.

319. Chronological Files. The files consist of an extra copy of documents prepared or signed in the office, and kept in date order.

Dispose of when 2 years old.

Administrative Support Division

(See Addendum, page 167, for Items 319a and 319b).

OFFICE OF PUBLIC INVESTMENTS
(formerly Office of Public Works)

The Office of Public Investments shall be responsible for the implementation of EDA's Public Works (Titles I, II and IV); Long-Term Economic Deterioration (Title IX); Revolving Loan Fund (Title IX); and Section 304 programs. The functions of the Office are to:

1. Develop policies and procedures for the implementation of above cited public investment programs.
2. Direct and oversee the specific program authorities to assure timely and uniform implementation nationwide.
3. Coordinate the public investment program with other EDA programs as well as those of other agencies.
4. Oversee post-approval management of all public investments, including special adjustment assistance, construction and revolving loan projects.
5. Provide guidance and direction to the Regional Offices regarding implementation of the public investment programs.
6. Oversee and coordinate the Section 304 program for the Deputy Assistant Secretary for Economic Development Operations.
7. Develop, in coordination with the Office of the Inspector General, criteria for audits of the public investment programs, including adherence to EDA policy and programmatic requirements.
8. Provide special reports and briefing materials in the various public investment programs. Provide information to prospective applicants, Congressional offices, and public interest groups.

Office of the Director

320. Policy Subject File. Documentation generated by the Director and his principal assistants pertaining to the establishment of program objectives, plans, policies, procedures and development and approval of projects involving the expenditure of funds for public works activities.

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

321. State File. Contains correspondence concerning proposed, pending and approved projects with supporting papers such as Overall Economic Development Program studies and copies of correspondence with Congressmen and other dignitaries concerning specifics of projects in their particular state.

Start a new file every 5 years, retire to SHA 1 year later, and transfer to WNRC 1 year later. Dispose when 10 years old.

322. General Correspondence File. This contains correspondence to and from the divisions of the office and other Government agencies having either a regulatory or program interest in the operations of the Office of Public Works. More specifically, this file also includes documentation of General Accounting Office audits and inquiries, project status reports, evaluation of public works and economic development.

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.

323. Program Evaluation Technical File. These are the papers generated or collected by the Program Assistant used to evaluate program effectiveness, procedures, systems and to draft replies to inquiries on these matters. The file is composed almost entirely of copies of Profile Scope of Public Works and of similar papers.

Dispose of individual documents or contents of file folders when superseded or when they have served their purpose, whichever is sooner.

324. Public Works Project Narrative Reports. These are computer printouts showing project number and name, applicant's name, location, date of approval, and the narrative summary of the conditions of justifying the project and brief description of the nature and funding and current status of it.

The report is updated cumulatively every quarter. Thus, the update report contains all of the information in the previous report, plus any pertinent information that has developed during the reporting period. When the updated report is received the previous report is replaced and destroyed.

- a. Director's Office copy - Retire this record copy to SHA when no longer needed for current business. Transfer to WNRC 1 year later. Dispose 25 years after date of last narrative report.
- b. All other copies - Dispose when they have served their purpose.

325. Project Summaries. These are copies of summaries of each project prepared prior to approval of the project showing name of applicant, location, type of area, designation date, population, median family income, project description, economic development process, findings, and recommendations. A copy of the appropriate summary is included in each project case file, and also is sent to the EDA Office of Public Affairs. The appropriate Division of the Office of Public Investments is responsible for maintaining the Director's copy of these Project Summaries. Arranged numerically.

- a. Director's Office copy - Permanent. Retire this record copy set 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.
- b. All other collected sets - Dispose of when they have served their purpose.

325a Administrative Subject File. These are office copies of papers documenting the administrative and housekeeping affairs of the office including personnel, taxi vouchers, overtime, budget, time and attendance, travel, and related papers. Also included are some papers on program administration.

Dispose of when 5 years old.

(See also Items 345 - 350 for additional items assigned to the Office of the Director)

Financial and Loan Management Staff

326. Loan Management Case Files. These comprise a case file for each project on which a loan has been made, arranged first by state thereunder by project number. On the left hand side of the case folder is placed correspondence, Requisition for Bond Purchase or Loan Advance, legal opinions, and similar papers pertaining to the negotiations and closing of the loan. On the right hand side of the case folder is placed all legal documentation pertinent to loan closure. This documentation can include the borrower's charter, certificate of incorporation, minutes of various proceedings, title opinions, engineers certificate, location maps, final opinion of bond counsel and similar documents specified in a checklist.

These papers are duplicates of record copies maintained in the appropriate regional office. However, they must be maintained for a short period after the loan has been fully satisfied in order to enable the staff to maintain overall management surveillance of loan repayment, and to provide financial management guidance and assistance to headquarters units and to regional offices. Also included in the file are skeleton case files pertaining to loans or grants made under the Community Emergency Drought Relief Program.

Although loan case files are considered closed when the loan is formally executed and made for purposes of this schedule, a project case is closed when the final payment is made fully satisfying the loan.

Loan agreements most generally require repayment in 15, 20, 30, or 40 years. The Federal Reserve Bank or the Accounting Division, EDA, is the custodian of loan agreements and responsible for collecting payments of the loan. However, they are only furnished the note, mortgage, or bond which is the minimal legal documentary evidence of the borrower's obligation.

None of the legal evidence of the loan is placed in the Project Case File.

Retire closed (after last payment) cases to SHA at the end of every year and transfer to WNRC 1 year later. Dispose of 3 years after closing date.

327. Financial Review Reports. These are reports that were initiated in regional offices showing the financial conditions of each project in the region and were received under a discontinued procedure. These reports were submitted and reviewed in accordance with an enclosed checklist which includes findings and recommendations. They are arranged first by fiscal year, thereunder by state and region. These papers are duplicated in the appropriate Project Case Folders.

Dispose when 5 years old.

328. Financial Review General File. This contains copies of incoming and outgoing correspondence, arranged according to a subject-numeric system, maintained and used by the office for precedents in establishing financial management policies, standards, procedures, review of the financial condition of individual projects, and to provide guidance to regional offices on the treatment of any special or unique financial situations that may arise.

Start a new file every 3 years and retire to SHA 1 year later, and transfer to WNRC. Dispose when 10 years old.

329. Detail Trial Balance (AC-14 or equivalent). This is a printout of General Ledger Detail Trial Balance by transaction code issued monthly. The record copy of this report is maintained in the Accounting Division.

Dispose when superseded.

330. Accounting Record Form (ED-65 or equivalent). These are copies of the accounting record generated in the Accounting Division on public works projects with outstanding loans. These are used by the Division to monitor loan payments.

Dispose when superseded.

Public Works Division
(formerly Policy and Program Development Division)

331. Profile of Potential EDA Public Works Project. These are brief summary narratives of proposed public works projects in the process of development by local

areas and communities. A summary project profile presents factual information pertaining to the details of the proposed project including type of facility, cost estimates, direct economic impact, statutory considerations, and estimated construction schedule. These profiles only apply to the pre-application phase and they are one of the prime source of information concerning future plans of the areas and communities involved. Copies of these profiles are in the official project case file if one is developed. However, this collected set is of significant value for historical and other research. Arranged numerically.

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.

332. General Project Certification Subject File. These are incoming and outgoing communications and copies of collected papers previously used as precedents for certification of non-relocation business loan and regular projects, under a discontinued procedure.

Retire to SHA for transfer to WNRC. Dispose when 15 years old.

333. Qualifications, Requirements, and Certification File. Correspondence and other papers, such as copies of requirements and certification, checklists, and reports for projects pertaining to the requirements and qualifications for certification of projects, previously maintained under a discontinued procedure. The file is arranged by subject, such as Civil Rights, Convention Centers, District Growth Centers, Industrial Parks, Labor, and Public Improvements, and also includes a segment of States concerned with qualifications of specific projects.

Retire to SHA for transfer to WNRC. Dispose when 15 years old.

334. Requirements and Certification Card Log. This consists of card log entries for each project; reviewed which summarize the actions taken for project review of qualifications and requirements and certification of non-relocation business loan and regular public works pro-

jects under a discontinued procedure. The log was prepared for each project when the project file was received. Under decentralization, Regional Offices are now responsible for requirements and certifications reviews.

Dispose of when 5 years old.

335. Administrative Subject File. These are office copies on matters such as time and attendance, personnel, budget, space, travel, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

336. Information Subject File. The file consists of convenience copies of materials on program development matters, and also includes printed and processed material, notes, workpapers, clippings and the like containing technical and other factual information needed to prepare findings and recommendations.

Dispose of individual documents or contents of file folders when superseded, or when they have served their purpose, whichever is sooner.

337. RESERVED

338. RESERVED

339. RESERVED

340. RESERVED

341. RESERVED

342. RESERVED

343. RESERVED

344. RESERVED

345. Public Works Approved Project Case Folders. These are project case files which comprise the so-called "Washington Duplicate." The record copy of each of these case files is maintained in the appropriate regional office. The skeleton file maintained in Washington may contain such items as a copy of the application with supporting documents, a copy of administrative actions relating to the applications or the approved project copies of pre-approval review action, certification requirements, post-approval reports, and planning and construction papers.

The cases are closed when construction is completed and the final EDA payment, if any, is made. Each closed project is stamped to show the dates on which these actions occur.

~~Retire all closed cases to SHH at the end of each quarter and transfer to WNR 2 years later. Dispose 10 years after date of closure.~~

40

346. Withdrawn, Terminated, or Cancelled Approved Public Works Project Cases. These are project case files that have been approved and contain essentially the same papers as those described immediately above. The grantee-borrower for a great variety of reasons cannot complete the project and EDA deobligates funds for the project because of failure of the grantee-borrower to meet legal requirements and other obligations to which he is bound.

Retire to SHA when withdrawn or terminated and transfer to WNRC 1 year later. Dispose 5 years after withdrawal or termination date.

347. Regular Contractor Payroll Files. These files consist of periodically submitted copies of contractor payrolls involved in public works construction projects. These are used to evaluate the employment producing aspects of a project. Because of volume, they should be maintained separately from the basic project case folder. Under decentralization, Regional Offices are now the office of record.

Dispose of 3 years after close of project

348. PW Project Log Control. This is a log of projects showing all key processing steps from inception to final decision. This is an internal project control and information source for the use of this office.

Dispose when it has served its purpose.

349. PW Project Data Records. This is a project inventory card and ledger system used in preparing regular and special project activity reports and information for OPW and others in EDA.

Dispose when they have served their purpose.

350. Financial Coding Records. This is a record of action taken in assigning the PPBS/Financial Accounting Code for each project recommended for reservation of EDA funds and subsequent approval. This is an internal control for use in this office.

Dispose when they have served their purpose.

Computer Printouts

The printouts described below are produced for the Office of Public Works, as a part of the Management Information System. Since the Office has the primary interest in these printouts, its copies of them are considered to be the record copies. The tapes for these printouts are maintained by the Information Systems and Services Division of EDA.

It will be noted that some of the reports are cumulatively updated which produces in the most recent version all data that appeared in all previous versions of the report. In such cases, so long as this practice is continued, only the last or terminal update copy has value beyond the period during which it is required for administrative purposes.

—351. State Summary (A-05 or equivalent). This biweekly report shows the number of projects, and amount of EDA funds by type of program and type of funds. States are arranged alphabetically. Cumulative.

- a. Terminal updated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

352. State Summary (FY) (A-05 or equivalent). This biweekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

— 353. Regional Office Summary (A-06 or equivalent). Bi-weekly report showing the number of projects, and amounts of EDA funds by type of program and type of funds. States are arranged according to EDA Regional Office responsibility. Totals are included for EDA Area Office. Cumulative.

- a. Terminal updated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

354. Regional Office Summary (FY) (A-06 or equivalent). This biweekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

355. Special Area Listing (PW) B-04 (1 and 2 or equivalent). This biweekly report identifies projects within each area eligible for EDA assistance. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

- 356. Project Listing (B-05 or equivalent). This biweekly report is prepared sequentially by project number and is used for quick identification of a project when only the project number is know. It includes all major programs, for "All Status" only. This is a cumulative report.

a. Terminal updated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose when 15 years old.

b. All other copies - Dispose when superseded.

357. EDA Public Works Project Transcript (ED-2 printout or equivalent). This is the public works portion of a larger monthly project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll, annual sales, cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population, work force; unemployed; unemployment rates; median family income; basis and dates of designation action; etc.

Dispose when superseded.

358. Public Works Project Narrative Report. A monthly one-page narrative summary of area and project information. Issued on a project-by-project basis for those Public Works projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

359. Area Listing (B-04 or equivalent). This is a computer printout reflecting the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost.

Dispose when superseded.

360. Technical Reference File. These are convenience copies of circular letters, memoranda, and related papers pertaining to Division operations and copies of printed materials pertaining to the functions of the Division.

Dispose of materials when they are superseded, or or when they have served their purpose, whichever comes sooner.

Project Management Division

361. Central Correspondence Subject File. These are copies of incoming and outgoing papers generated by the Division Chief and all other members of the Project Management Division. The file contains documentation of policy, interpretation of law and regulations, instructions and procedures for the guidance of the Division and regional offices, evaluations of related programs operated by other government agencies and the like.

Only a few of the papers involved pertain to a specific project and when this is the case a copy is filed in the appropriate case file.

Start a new file every 5 years, retire old file to SHA 2 years later, and transfer to WNRC 3 years later. Dispose when 15 years old.

362. Approved Special Area Project Case Files. These are the record copies of the approved case files for special areas including Economic Resources Corporation, Los Angeles, California; Community Group Health Foundation, Inc., Washington, D.C.; National Children Center, Washington, D.C.; and Peoples Involvement Corporation, Washington, D.C.

These case folders contain the same type of papers as other approved project files. However, the distinction is that these are selected cases that are entirely administered at headquarters and there is no documentation of them in the regional offices. Other cases may be selected and handled in this manner in the future. Cases are closed upon completion of construction and final EDA payment, if any. Arranged numerically.

Permanent. Retire closed cases 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.

363. Projects Completed Through Step 20 (PWO-9 or equivalent) Final Acceptance. This is a computer printout showing project number, location, state, EDA costs, and acceptance date. This report is cumulative to the extent that it contains all data presented on projects that have not gone through steps beyond Step 20 or are dropped from the report and included in projects completed through Step 22, Report No. PWO 10.

- a. Terminated copy - Retire to SHA when 1 year old and transfer to WNRC 1 year later. Dispose when 15 years old.
- b. All other copies - Dispose when superseded.

364. Public Works Weekly Construction Summary (PWO-4 or equivalent). This printout summarizes supplemental grants made to other agencies and EDA for projects classified by construction status, regional office involved, total amount of the grants and the total number of projects on which construction has been completed.

Dispose when superseded.

365. Public Works Projects Semi-Annual Report (PWO-7 or equivalent). This report is automatically produced by special request showing steps from date of approval through warranty, expiration date, project location, number of contracts, contract costs, and type of facility.

Dispose when superseded.

366. Administrative Subject File. These are office copies of 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.

367. Technical Subject File. Contains documentation collected or generated on engineering matters that have recurring pertinence to the engineering review process.

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

Long Term Economic Deterioration Division

(See Addendum, page 167, for items 367a, 367b, 367c, and 367d covering this Division)

LOCAL PUBLIC WORKS PROGRAM

Under the Public Works Employment Act of 1976, EDA was responsible for carrying out what has been called Round I of a local public works capital development and investment program aimed at creating jobs through local government public works construction projects. In May of 1977, Congress further authorized EDA to administer a larger Round II Local Public Works Program as part of President Carter's economic stimulus initiative.

Round I consisted of the allocation of \$2 billion in grants to 2,062 projects during the closing days (December 1976 - January 1977) of the Ford Administration. In Round II, EDA funded -- in a 72-day period (July-September 30, 1977) -- 8,553 projects in the amount of \$4 billion for more than 4,000 state, county, and local governments and school boards.

In total, Rounds I and II of the Local Public Works Program have involved the allocation by EDA of \$6 billion in grants for more than 10,600 projects in areas of high unemployment -- the largest Federal public works effort since the Great Depression of the 1930s. Additional authorizations of local public works moneys are being considered.

The program funded useful public facilities that will add to the capital stock of communities throughout the country. Water and sewer systems, streets, bridges, port facilities, community centers, municipal office buildings and schools, police and fire stations, detention facilities, hospitals, museums, and parks and recreation facilities are among the wide variety of facilities being constructed.

Special staffs within headquarters offices of EDA and within the EDA Regional Offices were established to carry out the program.

While the headquarters office was responsible for the direction, review, and coordination of the program, basic responsibility for the administration of individual projects has been placed on the EDA Regional Offices. Therefore, the project case files maintained by the Regional Offices are considered the record copies. The headquarters office maintained only duplicate skeleton files on individual projects for direction, review, and informational purposes.

368. LPW Program Subject File. This file, maintained by the Director and his immediate assistants, provides basic documentation on the policies, procedures, coordination,

management, and operations of the \$6 billion LPW program and any future authorizations. Except for intergovernmental relations, which are documented elsewhere, it provides the most complete record of this major activity the Department during the latter half of the 1970s.

The file is arranged alphabetically by such subjects as Policy Issue Papers; Rules, Regulations, and Amendments; Act; Guidelines; Policy Council; LPW Task Force; Special Requirements, Program Development; Allocations; Pockets-of-Poverty; Procedural Papers; Directives/Bulletins; and the like.

Permanent. Break file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

369. Administrative Subject File. These are office copies of papers on such matters as time and attendance, personnel, budget, space, travel, requisitions for services, and similar housekeeping activities.

Dispose of when 2 years old.

370. Chronological File. The file consists of copies of documents prepared or signed in the Office, arranged by date.

Dispose when 5 years old.

371. LPW Duplicate Approved Grant Case Files. This file, kept for purposes of direction, coordination, review, and information, provides the headquarters office with needed information on each approved project.

The skeleton case file on a project includes such documents as the following:

LEFT SIDE

1. ED-735, Request for and Reservation of Program Funds
2. Cover Letter for Grant Award/Offer

3. Grant Award/Offer
4. Special Conditions
5. ED-508, LPW Project Line Item Estimated Costs
(Budget Page)
6. ED-192, Approval Document for LPW Projects
7. ED-31, Yellow Routing and Remarks Transmittal
8. ED-101/101-S, Application

RIGHT SIDE

9. Amendment Papers: (All types)
 - a. Memorandum Directing Regions to Amend
 - b. Letter Notifying Grantee of Amendment
 - c. Grantee Acknowledges Amendment
10. Letters of Rejection; Deobligation of Funds
11. Waivers for Special Requirements
12. Extensions to 90-day On-site Labor Start Form 14
(Telegraphic Message)
13. Miscellaneous Correspondence
14. ED-113, Letter of Transmittal

The record copy of such grant project cases is maintained in the Regional Offices.

Retire closed cases to SHA 1 year after close out.
Dispose of 3 years after close out.

372. Intergovernmental Relations Correspondence File.
This record copy file of controlled correspondence reflects the official policy in reviewing proposed Round I and Round II LPW projects. The correspondence

is mainly with Congressmen, Governors, County Executives, Mayors, and other Federal, State, or local government officials who had an interest in funding LPW projects, and who wished to obtain such job creating project moneys. Arranged by state.

Permanent. Break file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives 20 years thereafter.

373. Title X Source Documents and Related Records. The file consists of records pertaining to the Title X construction projects for creating jobs such as Form SEC-887, Summary of Evaluations and Findings of Title X; Form ED-110X, Title X Payroll Reporting Form; Form ED-736, Title X Project Completion Report; and related or equivalent records serving as informational or source document materials for the computerized reporting system pertaining to Title X projects.

Retire to SHA when no longer needed for current business for transfer to WNRC. Dispose of when 5 years old.

374. LPW Project Source Documents and Related Records. The file consists of materials pertaining to the LPW construction projects for creating jobs such as Form ED-746, LPW Payroll Reporting Form; Form ED-747, Identification of Project Coordinator, Grantee, Contractor, or Subcontractor; Form ED-748, LPW Evaluation Form; and equivalent or related records serving as informational or source document materials for the computerized LPW project reporting system.

Retire to SHA when no longer needed for current business for transfer to WNRC. Dispose of when 5 years old.

Loan Programs
DEPUTY ASSISTANT SECRETARY FOR DEVELOPMENT FINANCE
(Formerly OFFICE OF PRIVATE SECTOR INVESTMENTS)

The Deputy Assistant Secretary for Development Finance shall be responsible for implementing the Development Finance Program (DFP) which uses financial incentives such as loans and loan guarantees to encourage business investment in economically distressed areas, to provide employment and to improve the tax base. The functions of the Office are to:

- a. Develop policies and procedures for implementing the following program authorities:
 - (1) Business loans, loan guarantees and technical assistance for development finance under the Public Works and Economic Development Act of 1965, as amended; and
 - (2) Direct loans and loan guarantees under the Trade Act of 1974.
- b. Develop, recommend and implement standards, policies, and criteria for the technical evaluation and processing of project applications for assistance under the above authorities.
- c. Review and recommend approval or denial of project applications to the Assistant Secretary and approve amendments to loan guarantees, direct loan packages, and DFP technical assistance grants.
- d. Evaluate activities of the Regional Offices in their implementation of DFP policies, standards, and procedures for processing project applications, for administering approved projects and for providing technical assistance grants.
- e. Monitor on a continuing basis the overall effectiveness of the development finance projects at the national and regional level, and recommend and implement new policy and program approaches.
- f. Provide direction to ensure coordination of DFP activities with EDA public works, revolving loan funds, planning, policy, research, evaluation and other technical assistance activities.

- g. Provide direction to ensure coordination of the DFP with other Federal bodies, State and local governments, national organizations and private sector institutions; participate with the Office of Policy, Evaluation and Research in analytical presentations and discussions with the White House staff, OMB, other Federal agencies, the Congress and members of the financial and business development communities, and public officials.

The Deputy Assistant Secretary for Development Finance shall direct and supervise the activities of the following organizational elements: the Office of Development Finance Management, the Office of Development Finance Projects, and the Office of Portfolio Administration.

Office of the Deputy Assistant Secretary
for Development Finance *loan Programs*

375. Program and Policy Subject File. Documentation, including incoming and outgoing correspondence and related papers, generated or accumulated by the Deputy Assistant Secretary and staff in the course of providing executive direction to the Development Finance Program which uses financial incentives such as loans and loan guarantees to promote needed business investments in distressed areas, provide employment, and improve the tax base. Included are such subjects as Credit Scoring System, Common Business Credit Committee, Development Finance Management Council, EDA Policy Council, Legislation Implementation Planning, Philadelphia Roundtable, Development Finance Program Pre-Approval Items, and various projects by name of company in which the Deputy Assistant Secretary has a personal interest. Arranged alphabetically by subject.

Permanent. Start a new file every 5 years. Retire to SHA 1 year later. Transfer to WNRC 2 years later. Offer for transfer to the National Archives when 20 years old. (*Item 19, NC1-378-81-1*)

376. Chronological File. The file consists of copies of documents prepared or signed by the Deputy Assistant Secretary, and maintained in date order.

Dispose of when 3 years old. (*Item 20, NC1-378-81-1*)

Insert Credit and Debt Management Division

OFFICE OF DEVELOPMENT FINANCE MANAGEMENT

The Office of Development Finance Management shall be responsible for providing overall guidance and coordination of DFP activities to ensure that Regional and Headquarters offices effectively implement the DFP. The functions of the Office are to:

- (1) Develop, implement and evaluate the policies, standards and procedures for the operation of the DFP in Headquarters and the Regional Offices.
- (2) Translate these policies and procedures into basic operating standards and performance measures for Headquarters and Regional Offices.
- (3) Recommend national and regional DFP program objectives; coordinate, manage and monitor the DFP portfolio to ensure compliance with program standards and objectives, and recommend the redirection of resources to ensure achievement of the DFP overall goals.
- (4) Develop and implement policies and programs to establish the nation-wide DFP delivery system and administer the DFP technical assistance program.
- (5) Develop and manage EDA's broad-based DFP outreach program; provide guidance and assistance to Regional Offices and other EDA and non-EDA organizations about DFP delivery system, and provide resource persons for this outreach program.
- (6) Develop and administer a nationwide DFP training program for EDA Headquarters, Regional Offices, and non-EDA public and private participants; periodically review and recommend continuation or changes to the training program.
- (7) Serve as the primary contact between the Deputy Assistant Secretary and legislative offices, State and local governments, public interest groups and private sector organizations and institutions to ensure effective coordination of the DFP and related activities.

(8) Represent the Deputy Assistant Secretary for Development Finance on inter-and intra-agency committees and task forces related to the formulation of Agency-wide and Administration development policy and programs; ensure coordination and implementation of DFP related inter- and intra-agency agreements.

(9) Develop, implement and evaluate demonstration efforts relevant to the DFP to improve its operations.

(10) Serve as the primary contact between the Deputy Assistant Secretary for Development Finance with the Office of Operational Planning and Control (OOPAC) on all activities affecting the DFP; in coordination with OOPAC, provide guidance to the Regional Offices in the development of their regional strategies; review and monitor the strategies; develop the management information system requirements to define and monitor performance measures, to provide budget program information to track investments and to ensure consistency among program activities and regional strategies, allocation plans and agency policies.

(11) In coordination with the Office of Policy, Evaluation and Research, participate in recommending and monitoring contracts for research and evaluation of DFP program and policies.

(12) Conduct postapproval reviews of selected DFP projects to determine adherence to EDA policy and guidelines; develop, in conjunction with the Office of the Inspector General, criteria for audits of the DFP, including adherence to EDA policy and programmatic requirements.

(13) Develop DFP program handbooks, bulletins and directives for DFP offices; prepare materials relating to the policies and operation of DFP, its delivery system and related programs for briefings, testimony and reports for the Congress, other Federal agencies, and the public.

(14) Provide the administrative support for the DFP including such functions as the control of funds for travel, supplies, repairs; control of all DFP correspondence; the coordination of budget and personnel information; and forms development, printing and dissemination.

(15) Review proposed legislation and materials involving EDA and non-EDA programs for impact on the DFP; and, in coordination with the Chief Counsel's staff, recommend responses and draft legislation as appropriate.

Office of the Director

377. Program Management Subject File. The file consists primarily of correspondence, proposals, position papers, issuances, and related papers created or accumulated in directing and administering the program development and coordination activities of the Office of Development Finance Management. Typical of the subjects included are: Alcohol Fuels, Banking Briefs, Center for Community Development, Policy Issues, DFP Regulations, Legislation, Implementation Ad Hoc Working Group, Lenders - Packagers Manual, Management Information System, Management Reports, Memorandum of Understanding, and National League of Cities. Arranged alphabetically by subject.

Break file every 3 years. Bring forward active materials to the new file as needed. Retire to SHA 1 year thereafter. Transfer to WNRC 1 year later. Dispose of when 20 years old.
(Item 21, NC1-378-81-1).

378. Director's Chronological File. The file consists of copies of documents prepared or signed by the Director, and maintained in date order.

Dispose of when 3 years old. (Item 22, NC1-378-81-1)

Program Development Division (Formerly Development
Finance Policy Division)

379. Program Development Subject File. Consists of correspondence, proposals, position papers, issuances, and related papers pertaining to Divisional work involving developing policy and procedural issuances and proposals covering the implementation of the Development Finance Program at headquarters and EDA Regional Offices concerning such matters as loan servicing activities, loan processing, lending guidance, loan guarantees, and the like.

Start a new file every 3 years. Retire to SHA 1 year later. Transfer to WNRC 1 year thereafter. Dispose of when 10 years old.
(Item 23, NC1-378-81-1)

380. Working Paper Files. These are extra copies, drafts, reference materials, and other working papers accumulated by staff members of the Division in carrying out assigned activities.

Dispose of when no longer needed for current business. (Item 24, NC1-378-81-1)

381. Chief's Chronological File. Consists of extra copies of documents created or signed in the Division and maintained in date order.

Dispose of when 2 years old. (Item 25, NC1-378-81-1)

Program Coordination Division (Formerly Development
Finance Administration
Division)

382. Controlled Correspondence File. These are the incoming documents and yellow copies of outgoing replies involving controlled correspondence from Congress and other organizations and persons, typically involving requests for assistance prior to the formal establishment of projects. The EDA record copy of such controlled correspondence is maintained by the Executive Secretariat.

Dispose of when 5 years old. (Item 26, NC1-378-81-1)

383. Administrative Subject File. Office copies of house-keeping papers pertaining to budget, time and attendance, personnel matters, requisitions and purchase orders, space, property, mail, and similar housekeeping activities.

Start a new file every 3 years. Bring forward active papers needed for current business. Dispose of when 3 years old. (Item 27, NC1-378-81-1)

384. Program Management and Report File. Consists of office copies of various periodic management reports created or received by the office such as project status summaries, approved loan summaries, weekly activity reports, quarterly financial reports and the like, together with records pertaining to program coordination, development, and analysis activities of the office.

Break file every 3 years. Bring forward active documents needed for current business. Dispose of when 3 years old or when no longer needed for current business, whichever comes sooner. (Item 28, NC1-378-81-1)

385. Quick Query - Office of Business Development Alphabetical Index of Borrowers. This is an alphabetical index of business development borrowers showing their name and project number produced by the computer using the already stored data as a part of the Management Information System. This quick query, or special report, may be produced as often as needed.

Dispose when superseded.

386. Project and Status Report (CO-1 or equivalent). This is the project reference document. It contains pertinent project characteristics and status of progress from date application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action; etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose of monthly and annual issues when superseded.

387. Change Report (C-21 or equivalent). A summation of number of projects, employment and cost categories by status within each major EDA program. Current additions and change are shown as well as current totals. Arranged by status and regional office.

Dispose when superseded.

OFFICE OF PORTFOLIO ADMINISTRATION

The Office of Portfolio Administration shall be responsible for the management of the business loan and loan guarantee portfolio, assisting the Office of Development Finance Management in the development and evaluation of effective loan administration policies and procedures carried out by Regional Offices and the Office of Portfolio Administration, and the orderly liquidation of DFP projects requiring such action. The functions of the Office are to:

- (1) Perform such analysis and establish such means of communications so as to be familiar with and be able to report in a timely manner on the significant aspects of each EDA loan/guarantee including, but not limited to: economic impact, repayment ability, EDA collateral and security position, and Borrower's/Lender's compliance with loan/guarantee terms and conditions.
- (2) Conduct the loan administration of EDA loans/guarantees requiring special servicing so as to sustain or restore EDA projects as viable operations through appropriate action, which may include the processing and recommendations of applications for new EDA financial and technical assistance, and/or modifications of existing loan/guarantee terms and conditions.
- (3) Conduct activities in connection with obtaining appraisals, lien searches and titles searches.
- (4) Conduct the orderly liquidation of EDA projects incapable of continuing viable operations so as to dispose of the project assets acquired at foreclosure to the best advantage of the government, taking into consideration EDA's economic development goals.
- (5) Direct all activities in connection with the care and preservation of EDA's collateral and security position in EDA loans/guarantees.
- (6) Request the assistance of, and work with, EDA's Office of Chief Counsel and other Federal agencies toward the orderly liquidation of EDA loans/guarantees.
- (7) Analyze and recommend for approval or denial modification actions to existing EDA loan/guarantee terms and conditions if requested by the Regional Offices.

(8) Assist the Office of Development Finance Management in the development of appropriate policy and procedural changes or corrective actions necessary to enhance the administration of EDA's loan/guarantee portfolio.

(9) Assist, advise and oversee the Regional Offices' Business Development Divisions in carrying out Office of Portfolio Administration loan administration program responsibilities; this may include assisting the Office of Development Finance Management in the development, implementation and administration of training programs for appropriate Regional Office personnel.

388. Director's Program Subject File. Consists of correspondence, reports, proposals, and related documents arranged by subject pertaining to the administration and documentation of the direct loan and loan guarantee program of EDA. Includes records pertaining to conferences, procedures, policies, meetings, status reports, regional relations, and similar type non project activities of the Office of Portfolio Administration.

Bring active materials forward as needed and dispose of when 5 years old. (*Item 29, NC1-378-81-1*).

389. Administrative Subject File. Office copies of documents pertaining to internal housekeeping activities such as time and attendance, accounting, travel, personnel, procurement and printing, and related internal housekeeping matters.

Dispose of when 3 years old. (*Item 30, NC1-378-81-1*)

390. Approved Development Finance Direct Loan Project Case File. These are the headquarters office record copies of the project folders reflecting the EDA direct loan program to private industries including those involving trade adjustment assistance.

The case files on loans can have four major subdivisions, the first two existing basically for all projects, while the third and fourth are typically involved if the private company develops severe economic difficulties: (1) Documentation pertaining to the preapproval and the submission and approval of the loan application; (2) documentation relating typically to the EDA Regional office servicing of the loan, and, if the company remains healthy, reports on its financial condition and eventual loan repayment papers; (3) papers pertaining to headquarters office servicing of the loan, typically for severely troubled companies whose records are transferred from regional offices to the headquarters office for servicing; and (4) for failing companies, documentation pertaining to the EDA liquidation of the company to attempt to salvage assets covering the loans.

The loan case folders are closed after repayment is made or some form of settlement or liquidation is completed.

Retire closed cases to SHA 1 year after case folder is closed. Transfer to WNRC 2 years later. (a) Retain samples (see page 166); (b) All others - Dispose 10 years after closing date. (*Item 31, NC1-378-81-1*)

391 Development Finance Loan Guarantee Case File. These contain the record copies of documentation of an EDA guarantee of a loan made to a business by a private bank or financial institution. EDA assisted such businesses that could not get direct loans from these financial institutions, either by fixed asset or working capital loan guarantees.

These case files are closed upon termination of the loan guarantee, or upon other settlement or liquidation of the business.

Retire closed cases to SHA 1 year after case folder is closed, provided enough volume of records is to be retired. Transfer to WNRC 2 years later. (a) Retain samples (see page 166) (b) All others - Dispose of 5 years after closure. (*Item 32, NC1-378-81-1*)

392. Denied Development Finance Financial Assistance Project Case File. These files reflect project applications or other preapproval documentation on proposed requests for direct loans or loan guarantees that were not approved.

Dispose of when 3 years old. (*Item 33, NC1-378-81-1*).

393. Collateral Instruments. These are the "original" documents or specific evidence of indebtedness pledged by a business to cover the EDA loan or guarantee such as collateral mortgages, personal guarantees, pledged inventories, assigned contracts, assigned accounts receivable, assigned life insurance policies, and similar instruments.

a. Paid up personal or corporate guarantees. Return to guarantor appropriately marked when debt is repaid or otherwise fully satisfied.

b. Liquidated companies. Retire to SHA 1 year after liquidation. Transfer to WNRC 2 years later. Dispose of when 25 years old. (*Item 34, NC1-378-81-1*)

394. Working Paper Files. These are extra copies, drafts, reference materials, developmental materials, and other working papers maintained for convenience by the staff of the Office to facilitate carrying out assigned responsibilities.

Dispose of when no longer needed for current business. (*Item 35, NC1-378-81-1*)

OFFICE OF DEVELOPMENT FINANCE PROJECTS

The Office of Development Finance Projects shall be responsible for the processing of projects in headquarters and making recommendations to assist the Office of Development Finance Management in establishing feasible policies and procedures for field and headquarters processing of development finance projects. The functions of the Office are to:

- (1) Develop, negotiate and process projects of a special investment, national prototype and industrial sector nature, and those referred to the Office of Development Finance Projects (ODFP) for processing by the Regional Offices.
- (2) Review the recommendations made by Regional Offices for the approval of applications for direct loans, loan guarantees, and other forms of financial assistance, and advise the Deputy Assistant Secretary on such recommendations.
- (3) Make final recommendations to the Deputy Assistant Secretary to deny, approve or restructure loans and loan guarantees, as well as all amendments and actions on them which require approval prior to transferring them to the Office of Portfolio Administration for servicing.
- (4) Advise, assist and make recommendations to applicants preparing national, prototype, special or industrial sector project applications.
- (5) Evaluate and make recommendations regarding comprehensive financing, after processing of such applications.
- (6) On projects processed by the ODFP, provide supervision and construction monitoring for private sector investment projects, including certifications for loan disbursements.
- (7) Monitor the construction and disbursement status of all undisbursed and partially disbursed private sector investment projects as reported by the Regional Offices.

- (8) Deobligate loan funds not required because of withdrawals, cancellations and underruns.
- (9) Assist the Office of Development Finance Management in the development of standards and procedures for construction monitoring of and disbursement for private sector investment projects.
- (10) Perform the headquarters processing responsibilities for the Special Incentives program, which will include such projects as employee stock ownership plans and new technology commercialization demonstration projects.
- (11) Assist the Office of Development Finance Management in the development, review and evaluation of operation of the Special Incentive program to ensure uniform implementation of the program policies, guidelines, standards, forms and procedures.
- (12) Ensure that actions taken to accept, develop, process, review and approve development financing projects are consistent with OMB Circulars, Executive Orders, pertinent statutes and the CFR.
- (13) Assist the Office of Development Finance Management to provide appropriate oversight, training, and technical expertise to the Regional Offices for the uniform implementation of the development financing program policies and requirements.
- (14) Maintain liaison with other Federal Agencies having grant-in-aid programs which may supplement or impact on Special Incentive projects, and other EDA development financing programs.
- (15) Provide project oversight taking into account program and policy compliance, and take appropriate measures to correct noncompliance.

Office of the Director

395. Administrative Subject File. Consists of office copies of travel folders, time and attendance records of employees and other internal housekeeping records maintained for convenience by the Director's office.

Dispose of when 3 years old. (Item 36, NC1-378-81-1)

395a. Director's Program Subject File. Correspondence, proposals, position papers, issuances and related records reflecting the direction and administration of the various headquarters or regional office projects involving financial assistance such as direct loans or loan guarantees made to private sector organizations to promote employment or other economic development objectives. Typical of the subjects included are: Conferences, Reorganization, Gasohol, Task Force, Realignment of Business Development Responsibilities, Loan Servicing, Assessment of TAAC's.

Break file every 3 years and bring forward to new files active materials still needed for current business. Retire to SHA 1 year later. Transfer to WNRC 1 year later. Dispose of when 20 years old. (Item 37, NC1-378-81-1)

395b Director's Project Files. Convenience files maintained by the Director covering certain projects in which he has a personal interest. The headquarters record copy of approved projects is maintained by the Office of Portfolio Administration.

Dispose of when no longer needed for current business. (Item 38, NC1-378-81-1)

395c Chronological File. Office copies of documents prepared or signed by the Director, and maintained in date order.

Dispose of when 2 years old. (Item 39, NC1-378-81-1)

Project Review Division

395d Steel Program Financial Assistance Project Files. These are the record copies of the project folders reflecting the financial assistance in the form of loan guarantees or loans granted to distressed steel companies by the EDA. The steel assistance projects were handled differently from most development finance projects in that the record copies of the projects were kept by the Project Review Division rather than the Office of Portfolio Administration, which was responsible for maintaining the central headquarters office record copies on development finance project case folders. The exception of the steel program to the centralized project file system was primarily based on the need of the steel industry specialists of EDA in charge of the program to have such files immediately accessible, in view of the special requirements of the program. Loan guarantees typically were made available to distressed steel companies for a period of 15 years.

Retire to SHA 1 year after closure of project. Transfer to WNRC 2 years later. Dispose of 10 years after closure of project. (Item 40, NC1-378-81-1)

395e Unsuccessful Steel Program Applications for Financial Assistance. Consists of applications for financial assistance and related papers from distressed steel companies that were not acted on favorably by the EDA.

Dispose of when 3 years old. (*Item 41, NC1-378-81-1*)

395f Project Review Program Subject File. Correspondence, proposals, and related documents reflecting the administration, procedures, and operations involved in processing projects, such as the steel program, which are the direct responsibility of the Division, or in monitoring the activities of the regions in their processing of development finance projects. Typical subjects of the file include: Steel Monthly Reports, Basic Steel Situation, Trade Assistance, Special Incentives, Modification Requests, Approved Projects, DFP Status Report, Regional Relations, Reorganization, and Steel News Clippings.

Dispose of when 5 years old. (*Item 42, NC1-378-81-1*)

395g Administrative Subject File. Office copies of documents pertaining to such internal housekeeping matters as time and attendance, budget, personnel, travel, and similar housekeeping activities.

Dispose of when 3 years old. (*Item 43, NC1-378-81-1*)

395h Chronological Files. Consists of an extra copy of documents prepared or signed in the division and kept in date order.

Dispose of when 3 years old. (*Item 44, NC1-378-81-1*)

OFFICE OF TECHNICAL ASSISTANCE

The Office of Technical Assistance oversees and directs the technical assistance programs administered through the Regional Offices, and technical assistance for economic development capacity building, trade adjustment assistance and developmental investments using a variety of National organizations, University Centers, and other public and private agencies as appropriate, and shall:

Develop, recommend and implement uniform technical assistance policies, standards, and procedures for accepting, processing, reviewing, approving, monitoring, and evaluating the operation of technical assistance projects of local and National scope consistent with the Act, its amendments, Office of Management and Budget Circulars, Federal Management Circulars, Executive Orders and appropriate laws.

Direct the administration of the Technical Assistance Program through all of its phases; coordinate all Technical Assistance activities with other EDA offices and programs.

Provide appropriate technical, program, and policy guidance to Regional Office personnel; oversee and monitor technical assistance activities in Washington and Regional Offices.

Provide training and development of technical assistance personnel in every facet of the program.

Maintain a central library of completed technical assistance reports; develop reports and information distribution system.

Maintain operating liaison with other Federal agencies where their programs affect economic development and which may supplement EDA projects.

Office of the Director

396. Technical Assistance Subject File. Documentation generated or collected by the Director and Deputy Director in the process of planning and directing the technical assistance with special emphasis on the coordination

of EDA technical assistance with other elements of the EDA program and with related programs conducted by other government agencies and the private sector. Also included are papers concerning exploration and consideration of potential projects where technical assistance might make an underdeveloped enterprise or area into healthy economic activities or locations. There are some papers relating to meetings and conferences attended by the Director and/or Deputy Director.

The file includes case files for correspondence with other government agencies and organizational units of EDA and the Department of Commerce. The file is basically arranged alphabetically by subject.

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.

397. Administrative Subject File. These are housekeeping papers including position descriptions, summer student programs, personnel actions and instructions, requests for building passes, requisitions, time and attendance reports, budget, travel, and copies of similar papers.

Dispose of when 2 years old.

398. National Approved Technical Assistance Grant and Contract Project Case Files. These case files on grants or contracts let for economic development studies and trade adjustment assistance undertaken under the direction of the headquarters offices of the Office consist of such materials as pre-approval papers including notification of the possibility of a project and related papers, papers documenting the grant or contract, papers reflecting monitoring of contractor-grantee activities, reports, accounting documents, preliminary or final reports, audit matters, and related papers.

These studies cover such areas as industries, resources, urban affairs, trade adjustment assistance, and the like. No regional counterpart files are maintained in Regional Offices. Grants are given when a study involves public or nonprofit organizations, while contracts are let to private enterprises.

Cases are closed upon receipt of a final report and upon final payment by EDA.

~~Retire closed cases to SHA 1 year after closure.~~
Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose 10 years after closure.

399. Regional Approved Technical Assistance Grant and Contract Project Case Files. These are files on grants or contracts let for economic development studies generated and monitored at the EDA Regional Office level consisting of such materials as pre-approval papers, papers documenting the grant or contract, papers reflecting monitoring of contractor-grantee activities, reports, accounting documents, preliminary or final reports, audit matters and related papers.

These studies cover such areas as industries, resources, urban affairs, trade adjustment assistance, and the like. Until recently headquarters offices maintained the record copy, but the regions now maintain the complete file, and the headquarters file is now a less complete duplicate.

- a. Projects started prior to Fiscal Year 1977 - Retire closed cases to SHA 1 year after closure. Transfer to WNRC 2 years later. (a) Retain samples (See Page 166); (b) All others - Dispose of 10 years after closure.
- b. Projects started during or after Fiscal Year 1977 - Dispose of 3 years after closure.

400. Denied and Withdrawn Technical Assistance Applications. These are applications and related papers that are either voluntarily withdrawn by the applicant or denied by EDA because the applicant failed to meet its requirements.

- a. Withdrawn applications - Return materials submitted to the Office to the sender. Dispose of any EDA generated papers 3 years after withdrawal.
- b. Denied applications - Dispose of when 3 years old.

401. Technical Assistance Control Cards Grants (ED-344 or equivalent) and Contracts (ED-319 or equivalent). This is a card control on (5x8) visible cards. It shows the project number (and contract number, if any), total funds available, name of contractor or grantee, and notations of pertinent actions on the project. The cards are arranged first by fiscal year, thereunder by project number.

Retire cards to SHA when 10 years old and transfer to WNRC 2 years later. Dispose of individual cards when the related project case files are disposed of.

402. Director's Chronological File. The file consists of copies of documents prepared or signed by the Director.

Dispose of when 5 years old.

402a. Repayment Agreements. The file consists of agreements and related records pertaining to individuals, corporations, or their business organizations that have agreed to repay the Federal cost of a specified technical assistance project of proprietary benefit to them as a condition precedent to approval of the project. The assistance might have been made directly to these applicants under grant or contract or to third parties under grant or contract who provided the applicant with assistance involving proprietary benefit.

Dispose of 1 year after repaid or written off.
(Item 12, NC1-378-81-1)

Policy and Program Development Division
(Formerly Industry and Resources Division)

403. Project Review Subject File. This contains documentation of laws, regulations, and technical requirements for making final recommendations on applications for technical assistance grants and contracts for special projects assigned to the Division. The file also contains incoming and outgoing correspondence with other government agencies and the public pertaining to matters of general applicability to technical assistance grants and contracts. These papers are collected or generated by the Division Chief and his immediate assistants. Arranged first by state, thereunder by subject.

Start a new file every 5 years, retire to SHA
1 year later, and transfer to WNRC 1 year later.
Dispose when 10 years old.

404. Administrative Subject Files. These are office copies of housekeeping papers including personnel actions, taxicab reimbursements, travel vouchers, budget, time and attendance reports, request for subscriptions, copies of instructions and directives, and similar papers. Also included are copies of project program reports used as guidelines and precedents in reviewing projects.

Dispose of when 2 years old.

404a. Regional Project Approval File. The file consists of working copies of project approval documents and/or press releases on regionally approved projects received from regions for informational purposes. Arranged by region and project number.

Break file yearly. Dispose when 2 years old.
(Item 13, NCI-378-81-1)

404b. Chronological File. Consists of an extra copy of correspondence and other documents prepared in the Division and maintained in date order. (Item 14, NCI-378-81-1)

Dispose of when 2 years old.

405. Feasibility Studies and Final Reports. This is a collected set of feasibility studies and final reports used by the Office as a worktool. Although a copy of the study or report is in the appropriate case file, the collected set makes available raw data that may very well be lost to a researcher having to make a case-by-case search. Notwithstanding the necessity of the office keeping this set as a worktool, designation of it as a second Record set is justified to stimulate and facilitate use. (The data for future research that may have only indirect bearing on the present mission of EDA could be very significant later on).

No other set of equal completeness prior to 1977 is available in EDA. Arranged by and project number thereunder. As of FY 1977, each Regional Office is expected to maintain a separate record set of final reports or feasibility studies generated by the region.

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.

406. EDA Project and Status Report (CO-1 or equivalent). This is a computer printout which contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant's name; project description and location; type of project; geographic codes; financing; sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits; and the like.

Dispose of when no longer needed for current business, or when superseded by a new annual cumulative report, as appropriate. (Item 15, NC1-378-81-1)

Institutional Investments Division

(Formerly Urban Division)

407. General Correspondence Subject File. These are office copies of letters, memorandums, and the like generated or collected by the Chief of the Division and staff.

Most of the papers have general applicability to projects; any pertaining to specific projects are duplicated in the appropriate project case file. All other papers are essentially duplicated in the subject file maintained in the Office of the Director.

Dispose when 3 years old.

408. Special Topics File. Primarily, this consists of collected documentation containing raw data on cities and urban economic development concepts. This file is used for preparation of responses and other presentations on all aspects of technical assistance to support the EDA program.

Dispose of individual documents or contents of selected file folders when 5 years old or when they have served their purpose, whichever is sooner.

409. Administrative Subject File. These are office copies of housekeeping papers pertaining to budget, personnel actions, requisitions, space, vouchers, and similar matters.

Dispose when 2 years old.

410. Special Impact Cities Subject File. The file consists of papers of a general nature relating to the program for impacted areas under the 1969 amendment to the Public Works and Economic Development Act. To be designated an impacted area, a city must meet certain criteria involving underdevelopment, income, unemployment, and similar criteria.

Start a new file every 5 years. Retire to SHA 1 year later. Dispose when 10 years old.

Trade and Industry Assistance Division
(Formerly Human Resources and Productivity Division)

411. RESERVED

412. RESERVED

413. Administrative Subject File. These are office copies of housekeeping papers such as budget, personnel actions, requisitions, time and attendance reports, vouchers, and the like.

Dispose when 2 years old.

413a. Chronological File. Consists of an extra copy of correspondence and other documents prepared in the Division and maintained in date order.

Dispose when 2 years old. (*Item 16, NCI-378-81-1*)

413b. Project Review Subject File. Contains documents of law, regulations, and technical requirements for making final recommendations on applications of trade adjustment assistance and trade adjustment assistance centers. The file also contains incoming and outgoing correspondence and related records with other government agencies and the public on trade adjustment and industry assistance matters.

Start a new file every 5 years. Retire to SHA 1 year later and transfer to WNRC 1 year thereafter. Dispose of when 10 years old. (*Item 17, NCI-378-81-1*)

413c. Technical Reference Resources File. The file consists of resource materials pertaining to trade and industry assistance, such as International Trade Commission reports on injury and industry data and Trade Act certifications.

Dispose of when no longer needed for current business
(*Item 18, NCI-378-81-1*)

414. RESERVED

415. RESERVED

ALL HEADQUARTERS UNITS

Listed below are files that were found in many headquarters units. To avoid repetition, these items listed here, and the retention periods supplied have been included to insure adequate disposition coverage of the records concerned. However, if any records listed below are described elsewhere in the Schedule, the retention period for the records in the particular organizational unit involved shall prevail, if different.

416. Manual of Economic Development Directives. These are local copies of Economic Directives (new system) and copies of MEDO's (old system) that are kept in many operating offices for policy and procedural guidance. The record copy of these and related directives is maintained in the Management Analysis Division (See Item 152). Copies maintained in all other units have no value after they have served their purpose as an operating instruction.

Dispose of individual directives when revised or revoked.

417. Chrono, "Reading," "Tickler," or "Suspense" Files. Chronological files have sometimes been 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.

418. 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. A record copy of this material is maintained as long as necessary in the Office of Public Affairs.

Dispose when 2 years old.

419. Reproducibles Files. Except those listed in Item 198, these are copies of manuscripts (camera copy), paper, photographic, and other types of plates or media 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.

420. Personnel Applications Files. These are applications and related papers from persons seeking employment in EDA.

- 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.

420a. Convenience Working Paper Files. These are extra copies, drafts, reference materials, developmental materials, and other working papers maintained for convenience of EDA operating officials to facilitate the carrying out assigned responsibilities.

Dispose of when no longer needed for current business. (Item 45, NC1-378-81-1)

ALL REGIONAL OFFICES

The major work of the EDA in carrying out individual projects involving grants, loans, or contracts occurs in the Regional Offices. Most of the record copies of these basic case files are now maintained in the Regional Offices or have been in process of being decentralized to the Regional Offices.

Although the organization of regional offices in subdivisions follows a reasonably consistent pattern the activities of, and the records generated by counterpart subdivisions vary considerably from region to region. To allocate records to subdivisions within regional offices will cause confusion and permit only the narrowest application of the retention periods provided. To avoid this, the records found in the regions are listed without regard to the subdivisions in the regional offices. As long as the records are the same as those described and serve the same purpose, it is intended that the retention period provided shall apply to them wherever found in a region including offices of Economic Development Representatives or field offices.

To help identify the material, files are grouped under center headings by type of content or function.

Executive Direction

421. Director's Subject File. This is incoming and outgoing correspondence from headquarters, area offices, Economic Development Representatives, private individuals and others pertaining to program activities, policy, procedures and rulings and decisions on matters and situations related to a number of projects or EDA activities.

Start a new file every 5 years, transfer to the Federal Archives and Records Center (FARC) 1 year later. Dispose when 10 years old.

422. Congressional Correspondence. This consists of incoming letters (records of telephone conversations) and outgoing replies to Congressmen. This correspondence is sometimes case filed by the Congressmen's name in the subject

file described above. In other cases it is considered a separate name file. Whichever is the case, this correspondence should be retained on site for disposition.

Dispose when 3 years old.

423. Administrative Subject File. This contains copies of incoming and outgoing items generated or collected by the Director pertaining to the direction of internal activities of the region. The file also contains some papers on housekeeping matters about which he has a need to know, or that require his approval.

Dispose of individual documents or the contents of file folders when 2 years old.

424. Field Activity Reports. These are weekly reports submitted to the Director by Economic Development Representatives showing their activity, contacts, and the localities visited. A copy of this report is also submitted to the Deputy Assistant Secretary. Since these reports are used extensively in follow-up inspections and as a prime source of data needed to protect the legal rights of the Government and any individuals concerned, it is desirable to maintain copies of them in both headquarters and regional offices for a reasonably long period of time.

- a. Regional Director's Copy - Start a new file every year, transfer to FARC 1 year later. Dispose when 10 years old.
- b. All Other Copies - Dispose when 1 year old.

425. Reports File. These are copies of reports, except Field Activity Reports described above, that are collected or generated to maintain management control of the program and activities of the region. They include such items as the Obligation and Cost Report, Activities Report, Expense Statement for Administrative Cost, Project Narratives, Production Reports, and other similar internal submissions. These papers are summarized or essentially duplicated by reports submitted to Washington.

Dispose when 5 years old.

Administration

426. Subject File. This contains incoming and outgoing correspondence pertaining to housekeeping and operating affairs such as budget, delegations of authority, funds, personnel, space, time and attendance reports, travel, requisitions for services and things. Also included are papers pertaining to plant and facilities maintenance and costs.

In some cases personnel name files are made a part of this file; in other cases these papers are kept separately as a name case file. The same disposition should be made of them in both cases.

- a. Personnel Name File - Dispose 1 month after separation of the subject employee.
- b. Applications for Employment - Send successful applications to the Office of Personnel; send unsuccessful applications back to the applicant.
- c. All Other Papers - Dispose of individual documents or contents of file folders when 2 years old.

427. Laws, Regulations and Directives. These are copies laws and regulations defining and governing the programs and responsibilities of EDA. Also included are copies of the Manual of Economic Development Directives (formerly MEDOS).

Dispose when revised or revoked.

428. Accounts. These are copies of documents received from headquarters or locally generated including accounts current, delinquent loans, disbursements and receipts, obligations and commitments, vouchers, bills of lading, imprest funds, and the like.

Dispose when 3 years old.

429. Personal Property Records. These are listings or inventories of personal property showing the description of the item, model and serial numbers, location and the person or office charged, with related correspondence.

- a. Record Card - Dispose when superseded by a new card or upon disposal of item of equipment.
- b. Inventories or Lists of Personal Property - Dispose when replaced by a revised copy.
- c. All Other Papers - Dispose when 3 years old.

430. Personnel Folders. In some cases a personnel folder is maintained for each employee in the manner and style of the official personnel folder. However, these folders contain only office or convenience copies of action papers filed in the employee's Official Personnel Folder which is maintained in the Office of Personnel, Office of the Secretary, Department of Commerce, Washington, D.C.

Dispose upon transfer or separation of the subject employee.

431. Reproducibles Files. These are copies of manuscripts, paper, photographic, and types of plates or media used to reproduce multiple copies of documents for distribution.

Dispose when no longer needed for reprint.

432. Press Releases, Speeches, and Other Presentations. These are copies of the items specified and similar material used as a precedent and for other reference purposes. This material is adequately documented in official files kept in headquarters offices.

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

433. "Chrono," "Reading," "Tickler," or "Suspense" Files. These consist of a carbon copy of all outgoing correspondence normally arranged in chronological order, however, a few unusual cases are noted where these copies are kept in an alphabetical order.

Dispose when 1 year old.

Civil Rights

434. Civil Rights Subject File. This contains incoming and outgoing correspondence and collected printed and processed material pertaining to the provisions of the program, its effectiveness, suggested improvements, and explanations or interpretations or specific provisions of the law and their application in general. Also included is documentation of the specific steps taken by the Office to implement the program.

Dispose of individual documents or contents of file folders when superseded or when 5 years old, whichever is appropriate.

435. Monthly Activity Report. These are copies of monthly activity reports that narratively summarize program activities for the period prepared for submission to headquarters and similar reports produced for internal use.

Dispose when 3 years old.

436. Complaints and Grievances Review Files. Documentation of complaints or grievances filed by individuals or minority groups against offices of a project for non-compliance with law and regulations. Close cases upon withdrawal or when a final decision is made.

Dispose 5 years after case is closed.

436a. Preapproval Review Files. Consists of duplicate copies of civil rights documentation submitted during the preapproval review process of various EDA projects. Includes such records as Form ED-509, Equal Opportunity Report, Form ED-612, Assurance of Job Opportunities for Unemployed, and similar civil rights program documents.

Dispose of when 3 years old.

436b. OEDP Committee Review Files. Documentation received yearly for review concerning the adequacy of minority representation on OEDP Committees.

Dispose of when superseded by new documentation.

Legal Papers

437. General Subject File. Documentation generated by the legal staff pertaining to the provisions of various laws and regulations, reviews of pending legislation, interagency matters, and to the regional programs of EDA. Also included is correspondence with other government officials and prospective borrowers or grantees relating to EDA requirements for eligibility and participation in its programs.

Start a new file every 3 years and transfer to FARC 1 year later. Dispose when 10 years old.

438. Project Legal Review File. This consists of legal opinions and related data generated in the course of reviewing each project prior to regional approval. Also included are interpretations and opinions rendered on statutory, regulatory, and other authoritative issuances governing the project.

Dispose of individual file folders when 10 years old.

439. Conflict of Interest. Documentation of conflicts of interest by private individuals and organizations with copies of reviews and legal opinions prepared by the legal staff.

Dispose of folders 1 year after case is closed.

439a. Duplicate Loan Closing Files. Consist of duplicate copies of loan closing documents involving various loan guarantee or business development loan programs maintained for convenience of the Regional legal staff.

Dispose of 3 years after loan closing.

Environmental Records

440. Environmental Subject File. This file reflects the environmental aspects involved in carrying out EDA projects, to comply with various laws and regulations concerned with protecting the environment during construction projects. It covers such matters as the Clean Air-Water Act, Historical Preservation Act, Environmental Regulations and Directives, National Environmental Policy Act, Governmental Relations, and similar matters.

Break file every 3 years. Bring forward active files. Transfer to FARC 1 year later. Dispose of when 10 years old.

441. Case Files on Environmental Compliance. Certain regions maintain, separately from project records, the environmental records pertaining to compliance with various Acts relating to the environment in carrying out EDA-funded construction projects. For most projects, an environmental assessment statement may be prepared. For certain projects a full environmental impact statement can be prepared, while projects involving Section 106 of the Historical Preservation Act require special statements as to the propriety of making loans or grants concerning historic properties. Other regions may include these statements in the actual project folder.

Transfer statements pertaining to closed cases to FARC 1 year after closure. Dispose of 10 years after closure.

Program Support Records

442. State, District and Area Planning Grant Project Case Files. This is the regional office copy of the official planning grant project case files containing copies of all determinations and data created during the preapproval period of the project and a copy of the application, grant offer (approval), grant with special terms and conditions of grant, if any; and any other legal documents necessary. Also included are correspondence, staff recommendations and documentary evidence required of the grantee. Grants are made to assist local governments and organizations in defining of economic development districts and in organizing and planning development organizations to evaluate depressed economic conditions. The normal term of a grant is usually one year. However, a number of grants are continued for various periods when there are justifications for doing so.

In each case a new agreement is made to cover the continuation. A continuation is identified by the same project number as the original grant with the addition of a distinctive terminal digit(s). Thus, the relationship between the original project case file and continuations flowing therefrom is maintained through the device of the project case file number with added distinctive digits.

In some cases the grantee has money that must be returned to the Government when his grant has run full term; in such instances the case is not closed until such monies have been returned, and the required audit report has been submitted. All cases are closed upon the receipt of the required audit report which documents the financial management and performance under the grant.

- a. Cases Generated Prior to FY 1978 - Transfer closed cases to Federal Archives and Records Center (FARC) at least 1 year after closure. Dispose of 5 years after closure.
- b. Cases Generated in FY 1978 and After - Transfer closed cases to FARC at least 1 year after closure. Dispose of 15 years after closure.

443. Correspondence Subject File. This consists of incoming and outgoing correspondence with various dignitaries, state and federal official requesting information concerning the status of programs and information needed for pre-project approval planning.

Start a new file every 5 years. Dispose when 8 years old.

444. Public Service Careers Project Case Files. These cases document grants made to organizations to provide assistance in recruiting and training disadvantaged persons for non-federal public service careers that will upgrade their income and job category. Official record copies are maintained in Washington. These are skeleton case files containing copies of documentation including the grant offer, application, agreement, copies of staff correspondence, progress reports, requests for disbursements and final reports.

These projects are funded through an agreement with the Department of Labor. Cases are closed upon receipt and return of any funds due the Government.

Transfer closed cases to FARC at least 1 year after closure. Dispose 5 years after closure.

445. Denied and Withdrawn Public Service Careers Project Case Files. These are duplicate copies of project case files of grants that have been denied because of the failure of the grantee to meet EDA requirements or that have been withdrawn by the grantee. The cases are closed upon appropriate satisfaction of the grantee. Official record copies are maintained in Washington.

Dispose when 2 years old.

446. Professional Services Grant Case Files. These files reflect grants made to designated economic development districts under Section 302b(1) of the Act to provide specific services through hire of specialists to address particular economic problems such as energy, industrial development, and the like.

a. Grants Made Prior to FY 1978 - Dispose of closed cases 5 years after closure.

- b. Grants Made During or After FY 1978 - Transfer closed cases to FARC 1 year after closure. Dispose of when 15 years old.

447. OMB Circular A-95 Grant Case Files. The files document grants made to designated economic development districts that are serving as State designated area clearing-houses for review of proposed grants as specified in OMB Circular A-95. These grants made under Section 302b(2) of the Act provide recompense to the districts for administering the A-95 review process.

- a. Grants Made Prior to FY 1978 - Dispose of closed cases 5 years after closure.
- b. Grants Made During or After FY 1978 - Transfer closed cases to FARC 1 year after closure. Dispose of closed cases 15 years after closure.

448. Denied or Withdrawn Professional Services or OMB Circular A-95 Grants. These files consist of applications and other related papers pertaining to denied or withdrawn grants for professional services or OMB Circular A-95 grants.

Dispose of 3 years after final determinations to deny, withdraw, or take no action on proposed grant applications.

Planning Records

449. Overall Economic Development Program (OEDP). These are duplicate copies of Overall Economic Development Program Plans submitted to EDA. These program plans describe the economic, employment, and business conditions prevailing in the area and specify the type of assistance needed with an evaluation of potential economic growth in the area. The record copy is maintained in the headquarters Qualifications Division.

Dispose when no longer needed for current business.

450. District Overall Economic Development Programs. This is a duplicate set of the initial Overall Economic Development Programs submitted by designated districts. The headquarters office maintains the record copy.

Dispose when they have served their purpose.

451. Annual Updates of OEDPs. After the submission of the first program submitted each district is required to submit an annual report or updated Overall Economic Development Program for review and approval. This is a duplicate set, the headquarters office is responsible for the record copy.

Dispose when they have served their purpose.

452. Planning Subject File. This is incoming and outgoing correspondence concerning preparation of Overall Economic Development Plans with related critiques, suggestions, and the like.

Start a new file every 3 years. Dispose when 5 years old.

Public Works Records

453. Public Works Approved Project Case File. These are the record copies of the files, since duplicates only are kept in Washington, and the duplicates are scheduled for shorter retention. They include Title X projects and projects involving the 1980 Winter Olympics program.

The file contains a copy of the application with all supporting documents, a copy of all administrative actions relating to the application or to the approved project, copies of all pre-approval review actions, certification requirements, post approval reports, and related planning and construction papers.

Cases are closed when construction is completed and the final EDA payment, if any, has been made. Each closed project case folder is marked to show the dates on which these actions occur.

Transfer closed cases to FARC 6 months after closure.

(a) Retain Samples (See Page 166); (b) All Others - Dispose 15 years after closure.

454. Withdrawn, Terminated or Cancelled Approved Project Case Files. These are case files for projects that have been approved and they contain essentially the same documentation as the project case files described immediately

above including Title X projects. The grantee-borrower for a variety of reasons cannot complete the project and EDA deobligates the funds for the project because of failure of the grantee-borrower to meet legal requirements or other obligations to which he is bound. These are the record copies of the cases.

Transfer withdrawn, terminated, or cancelled approved project cases to FARC every 6 months. Dispose of 6 years after withdrawn, terminated or cancelled.

455. Denied Project Case Files. These comprise a case file for each project by number that has been denied. The case generally contains an application, correspondence with the applicant, related findings and recommendations, and a letter of denial. Title X projects are included.

The record copies of these cases are in appropriate regional offices, and only a skeleton file is kept in Washington.

Transfer denied cases to FARC 1 year after denial. Dispose 6 years after denial.

456. Withdrawn Public Works Project Case Files. These comprise the record copy of a case file for each project withdrawn by the applicant. Generally, the case contains an application with supporting papers, correspondence with the applicant, and findings and recommendations. Title X projects are included.

Transfer withdrawn cases to FARC 1 year after withdrawal. Dispose 6 years after withdrawal.

457. Loan Management Case Files. These contain complete documentation of the loan including pertinent correspondence, Requisition for Bond Purchase or Loan Advance, legal opinions, and similar papers pertaining to the negotiations and closing of the loan. Other legal documentation includes loan closure papers, borrower's charter, certificate of incorporation, minutes of various proceedings, title opinions, engineers certificate, location maps, final opinion of bond council and similar documents specified in a check list.

The files in the regional offices are the official record copies and a duplicate record is maintained in Washington. Both of these files must be retained for the specified period after the loan has been fully satisfied. The

duplicate file in Washington is needed to enable the Financial and Loan Management Staff to maintain centralized management surveillance of loan repayments. The record copy in the field is required to enable the regional office to monitor the loan at the local level.

Generally speaking, these case files are considered closed when the loan is fully executed and made, however, for purposes of this schedule a case is closed when the final payment is made which fully satisfies the loan.

Transfer closed cases to FARC at end of each year.
(a) Retain Samples (See Page 166); (b) All Others -
Dispose 10 years after closure.

458. Financial Review Reports. These are reports prepared by regional offices and submitted to headquarters showing the financial conditions of each project in the region.

Dispose when 5 years old.

459. Project Construction Files. These contain correspondence relating to construction requirements and problems with related drawings, workpapers, and the construction package.

Transfer to FARC 1 year after completion of the project. Dispose 5 years after completion of the project.

460. Blue Print-Drawing Files. These files consist of blue prints or other types of drawings involved in various types of public works construction projects transmitted to the regional office by contractors, construction firms, and the like. Not all changes made during actual construction are reflected in the drawings submitted.

Dispose of 1 year after work ceases on construction, or the project is closed, whichever comes sooner.

461. Collateral Instruments. These are so called "original" documents or specific evidence of indebtedness pledged by the borrower including collateral mortgages, personal guarantees, pledged inventories, assigned contracts,

assigned leases, assigned life insurance policies, and similar instruments.

Return to the borrower appropriately stamped or marked when his debt is fully repaid or otherwise satisfied.

462. Public Works Correspondence File. This file contains incoming and outgoing correspondence with collected documentation pertaining to all facets of the Public Works Program and its operations.

These papers are generally arranged alphabetically by subject in a single file. However, in various regions they may be split and arranged in two or more separate and more specialized files.

Dispose of individual documents or file folders when 10 years old.

463. Engineering Project Review File. These are papers generated in the process of reviewing each project in accordance with established procedures and engineering practices. Generally these papers are duplicated in the appropriate case files. They are needed at the regional level for a period after approval of the project to maintain professional quality control.

Start a new file every 3 years. Dispose when 4 years old.

464. Regular Contractor Payroll Files. These files consist of contractor payrolls involved in public works projects. They are used to evaluate the employment producing aspects of a project. Because of the volume of the payrolls submitted, they should be maintained separately from the project case folders.

Dispose of when 5 years old.

Local Public Works (LPW) Program Records

465. LPW Program Subject File. This file consists of general materials not pertaining to individual projects concerning the local public works program, Round I and

Round II. It contains correspondence, background materials, legislative background, directives, reports, and other materials concerned with regional actions taken in administering this \$6 billion program to fund the creation of employment through local public works construction projects.

Break file every 3 years. Bring forward active materials. Transfer to FARC 1 year later. Dispose of when 10 years old.

466. (LPW Approved Grant Case Files.) These are the record copies of the case files on individual approved projects since only a skeleton file on each project is maintained in the headquarters office for a shorter retention period.

The file on each project contains such records as a copy of the application with all supporting documents, material on all administrative actions relating to the application and approval of the project, records on pre-approval review actions and certification requirements, post approval reports, papers concerned with planning and construction of the projects, materials on payments made to the grantee, and other documents relating to funding and constructing the particular facility involved.

Cases are closed when construction is completed and the final EDA payment, if any, is made. Each closed project case folder is marked to show the dates when these actions occur.

Transfer closed cases to ^{WNRC}~~FARC~~ 6 months after closure. (a) Retain Samples (See Page 166);
(b) All Others - Dispose 15 years after closure.

467. Withdrawn, Terminated or Cancelled Approved LPW Projects. These are project case files that have been approved and contain essentially many of the same papers described above. The grantee-borrower for a variety of reasons cannot complete the project, and EDA deobligates funds for the project because of the failure of the grantee-borrower to meet legal requirements and other obligations to which he is bound.

Transfer withdrawn, terminated or cancelled LPW approved project cases to FARC every 6 months. Dispose of 6 years after withdrawn, terminated or cancelled.

468. RESERVED

469. Withdrawn LPW Project Case Files. These files contain applications, supporting papers, and related materials for proposed projects that have not been approved by EDA, but which, for a variety of reasons, are withdrawn by the applicant.

- a. Records Submitted by Applicant - Return to applicant upon notice of withdrawal.
- b. All Other Records - Dispose of 3 years after withdrawal.

470. Regular Contractor LPW Payroll Files. These files consist of periodically submitted copies of contractor payrolls involved in LPW construction projects. They are used to evaluate the employment producing aspects of a project. Because of the volume of payrolls submitted, they should be maintained separately from the project case folders.

Dispose of 5 years after completion of construction.

470a. Environmental Review Copy, LPW Applications. Consists of duplicate copies of successful LPW grant applications maintained for environmental review purposes. The record copy of successful applications is maintained in the project case file.

Dispose of when no longer needed for current business.

Community Emergency Drought
Relief Program Records

471. Drought Program Subject File. This file consists of records not pertaining to individual projects concerning the administration of a special program for providing grants or loans to alleviate the economic distress caused by the prolonged drought of recent years. The files contain materials on the legislation, correspondence with other government agencies, headquarters-regional correspondence, background records, and related materials.

Transfer to FARC when 5 years old. Dispose of when 10 years old.

472. Drought Program Approved Project Case Folders. These regional office record copy case files consist of such records as the loan/grant application and supporting documents, materials on administrative actions relating to the application or the approved project, records on pre-approval project review actions, materials on funds loaned or granted, post approval reports, and related records.

Transfer closed cases to FARC 1 year after closure.
(a) Retain Samples (See Page 166); (b) All Others -
Dispose of 15 years after closure.

473. Withdrawn or Denied Drought Project Case Folders. The file consists of such records as the application and supporting documents, records on the review or denial, correspondence with applicants, and related records.

Transfer withdrawn or denied cases to FARC 1 year after withdrawal or denial. Dispose of 6 years after withdrawal or denial.

Title IX Program Records

474. Title IX Program Subject File. This file of general materials not pertaining to individual projects, documents the special grant program of EDA to help communities requiring economic assistance grants because of dislocations from plant closings, defense base closings, natural disasters, explosive growth such as energy "boomtowns," structural unemployment and the like. The file consists of materials on environmental adjustment problems, defense base closings, employee stock ownership trusts, trade adjustment and impacted industries, and the like.

Start a new file every 3 years. Bring forward active materials. Transfer to FARC 2 years later. Dispose of when 10 years old.

475. Title IX Development Planning Grant Case Files. These regional office record copy case files cover grants made to public entities for planning an economic adjustment strategy to cope with various economic dislocations covered by Title IX. These planning cases, typically of 6 months duration, consists of such records as applica-

tions, civil rights documents, grant offer, special and general terms and conditions, a final report outlining the proposed economic adjustment strategy, and related records.

Transfer to FARC 1 year after closure. (a) Retain Samples (See Page 166); (b) All Others - Dispose of 15 years after closure.

476. Title IX Implementation Grant Case Files. These regional office record copy case files cover grants made to public entities for implementing an approved economic adjustment strategy to cope with various types of economic dislocations covered by Title IX. These implementation grant cases, which are open-ended in duration, consist of such records as environmental statements, project profiles, civil rights documentation, grant agreements, grant offers, special and general terms and conditions, annual reports on activities, and related records.

Transfer closed cases to FARC 1 year after closure. (a) Retain Samples (See Page 166); (b) All Others - Dispose of 15 years after closure.

477. Denied or Withdrawn Title IX Planning and Implementation Grants. The file consists of such records as the application and supporting documents, records on the review or denial, correspondence with applicants, and related records.

Transfer withdrawn or denied cases to FARC 1 year after withdrawal or denial. Dispose of 6 years after withdrawal or denial.

Business Development Records

478. Approved Business Development Loans Project Case Files. These are regional office copies of the business development loan case files including Trade Adjustment Assistance Program case files for impacted industries. The files include such records as pre-approval papers such as early warning system notifications, applications and supporting documents, civil rights documents, recommen-

dations, and pre-approval correspondence. They also include loan agreements, modifications, status reports, financial statements, correspondence, and papers involving any liquidation matters as required, and related papers. These cases are considered closed when final repayment is made or all other matters are considered satisfactorily completed.

Transfer closed cases to FARC 1 year after closing.
Dispose of 10 years after closing.

479. Withdrawn and Denied Business Development Loan Project Case Files. These contain copies of documentation of project applications voluntarily withdrawn by the borrower, and of applications denied by EDA because of failure of the borrower to meet requirements.

Transfer cases to FARC at the end of every fiscal year. Dispose 3 years after withdrawal or denial.

480. Business Development Working Capital or Fixed or Leased Asset Loan Guarantee Case Files. These contain copies of documentation of an EDA guarantee of a loan made to the project applicant by a private bank or financial institution. Such loans are usually made to provide the project with capital for inventory or other operating expenses. The official record copies are maintained at headquarters.

Close cases upon termination of the guarantee.

Dispose 3 years after termination of guarantee.

481. Business Development Subject File. This contains documentation generated or collected by the Regional Director and his assistants in the process of maintaining oversight of the regions. Copies of decisions and instructions from higher authority are included in the file along with standards and procedures generated by the Regional Director governing the daily operations of the region. Also included is intra-regional correspondence dealing with specific problems, situations, or accomplishments.

Start a new file every 5 years, transfer to FARC 2 years later. Dispose when 10 years old.

Technical Assistance Records

482. Regionally Generated Technical Assistance Grant and Contract Project Case Files. These files are the regional copy of grant or contract project case files under the supervision of the regional offices.

Case files consist of such records as a copy of the final printed report or equivalent, progress reports and monitoring actions, proposed comments, applicants proposal, a copy of the agreement (grant or contract), and all other official documentation pertaining to the administration and adequacy of performance under the project agreement.

The normal term of a technical assistance grant or contract is one year; however, for various reasons a number of grants are renewed one or more times for an additional year. When this occurs, the original project case file number with an added final digit is assigned to the case file for each such extension. Thus, each case file including the first one and each extension thereafter is treated somewhat as a separate project.

Grants are made only to non-profit and public organizations; they are awarded to allow the grantee to provide management services and business know-how to selected businesses located in areas of economic distress. Grants are also awarded to provide training, counseling, and promotional services to such businesses.

Contracts are essentially the same as grants except they may be awarded to private enterprises. They are usually for a shorter term and are not extended as a general rule. Most contracts are awarded for feasibility studies, demonstration projects, or some business services. The terms of a contract nearly always require a final report or equivalent.

Cases are closed upon receipt of the final report and final EDA payment.

Transfer
closed cases to FARC 1 year after closure.
Dispose of 10 years after closure.
(Item 3, NC1-378-81-1)

483. Denied and Withdrawn Technical Assistance Applications. These are applications or proposals, and related papers, that are voluntarily withdrawn by the applicant or denied by EDA because the applicant failed to meet requirements.

- a. Withdrawn applicants - Return materials submitted to the office to the sender. Dispose of any EDA generated materials 3 years after withdrawal.
- b. Denied applications - Dispose of when 3 years old.

484. Feasibility Studies and Final Reports. These are final reports and feasibility studies covering those generated by a particular Regional Office, as well as those received at a Regional Office prepared in headquarters or other Regional Offices and maintained for reference purposes.

- a. Record copy set of studies and reports generated by a particular region. As of FY 1977, Regional Offices are expected to maintain by project number as a record copy in addition to the copy placed in the project folder, a set of one copy each of these feasibility studies and reports generated by the Regional Office.

Permanent. - Transfer to FARC when 5 years old. Offer to National Archives 20 years thereafter.

- b. Other copies maintained by Regional Offices. Dispose of when no longer needed for current business.

485. Technical Assistance Subject File. This contains incoming and outgoing correspondence pertaining to technical assistance projects in general; correspondence to and from headquarters, other government agencies, and intra-regional documentation relating to operations. Also included are copies of technical reference material.

Start a new file every 5 years, transfer to FARC 1 year later. Dispose when 10 years old.

Human Resources Records

486. Human Resources Correspondence. This is incoming and outgoing correspondence concerning the development, operation, and monitoring a training program approved and financed by the Labor Department for EDA redevelopment areas.

1981 Rev.

Start a new file every 3 years and dispose when 5 years old.

Computer Printouts

The printouts listed below are reports comprising a part of the EDA Management Information System, and with a few exceptions each one of them is distributed to a number of offices. Only those distributed to one or more regional offices are listed. Each regional office should apply the retention period specified to the items which it receives, and ignore the remainder.

487. Geographic Data Master (ARM-01 or equivalent). Monthly listing of "Area Statistics" by State and Economic Development Area. Report includes State code, EDA area code, County, District, Growth Center and Region codes, as well as population, population code, unemployment rate, work force, number of unemployed, and median family income based on Census data; unemployment rates are based on Census data. Included also is designation data for Areas and Districts.

Dispose when superseded.

488. Area Summary (A-04 or equivalent). Monthly report by development area that shows number of projects and amount of EDA funds (in thousands) by type of program (i.e., Public Works In-House, Public Works-Other Agency Business Loans, Technical Assistance, etc.) and type of assistance (direct grant, supplemental grant, loan, etc.). States are arranged by EDA Regional Office responsibility. Cumulative.

Dispose when superseded.

489. State Summary (A-05 or equivalent). This biweekly report shows the number of projects and amount of EDA funds by type of program and type of funds. States are arranged alphabetically. Cumulative.

Dispose when superseded.

490. State Summary (FY) (A-05 or equivalent). This bi-weekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

491. Regional Office Summary (A-06 or equivalent). Bi-weekly report shows the number of projects, and amount of EDA funds by type of program and type of funds. States are arranged according to EDA Regional Office responsibility. Totals are included for EDA Area Office.

Dispose when superseded.

492. Regional Office Summary (FY) (A-06 or equivalent). This biweekly report is identical to the above except projects and amounts are shown for current fiscal year only.

Dispose when superseded.

493. Area Listing (B-04 or equivalent). This biweekly report reflects the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicant name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

Dispose when superseded.

494. Area Listing (PW) B-04 (1&2 or equivalent). This biweekly report identifies projects within each area eligible for Public Works assistance. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

495. Area Listing (BL) B-04 (3&4 or equivalent). This biweekly report identifies projects within each area eligible for Business Loans and Working Capital Guarantees assistance. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

496. Area Listing (PG) B-04 (5) or equivalent . This biweekly report covers only Planning Grants. Its main purpose is to reflect the extent and type of EDA activity, identified by project, within each area eligible for EDA assistance. It provides a listing of projects for the current fiscal year only. It shows the project number, Congressional District, applicants' name, project purpose, employment, EDA funding, and total project cost. Separate groupings are prepared for major programs.

Dispose when superseded.

497. Area Listing (TA) B-04 (6) or equivalent . This biweekly report covers only technical assistance projects. It displays project number, Congressional District, name of applicant, project purpose, employment, EDA investment, and total project cost as well as selected socio-economic data for the area.

Dispose when superseded.

498. Project Testing (B-05 or equivalent). This biweekly report is prepared sequentially by project number and is used for quick identification of a project when only the project number is known. It includes all major programs, for "All Status" only. This is a cumulative report.

Dispose when superseded.

499. Project and Status Report (C-01 or equivalent). This monthly report covers only pending and approved planning grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population, work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded.

500. ED-2, Printout, EDA Public Works Project Transcript. This is the Public Works portion of a larger monthly project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll, annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded.

501. Project and Status Report (BL) (C-01 or equivalent). This is the Business Loan portion of a larger monthly project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Dispose when superseded.

502. Project and Status Report (PG) (C-01 or equivalent). This monthly report covers only pending and approved grants. It is a project reference document. It contains pertinent project characteristics and status of progress from date of application receipt through the review phase, and the approval action.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits.

Area data included are: population; work force; unemployed; unemployment rates; median family income; basis and dates of designation action, etc. The report reflects current fiscal year only for pending and approved projects only.

Dispose when superseded by next issue.

503. Project and Status Report (TA) (CO-1 or equivalent). This is a monthly computer printout which contains pertinent project characteristics and status of progress from date of receipt through review phase, the approval action, and the construction phase.

Data elements included are: applicant name; project description and location; type of applicant; type of activity; type of project; geographic codes; financing (requested, revised, approved); sources of funds; length of loan and interest rates; anticipated employment and payroll; annual sales; cost breakdown; major processing steps and days required for each step; construction status; and inspection visits, and the like.

Dispose when superseded.

504. Change Report (C-21 or equivalent). This biweekly report is a summation of number of projects, employment and cost categories by status within each major EDA program. Current additions and changes are shown as well as current totals. By Status and Regional Office.

Dispose when superseded.

505. Congressional Directory (DIR-01 or equivalent). This monthly report shows approved projects arranged by Congressional Districts within States. Includes applicants name, project number, project description, EDA funding and date of project approval.

Dispose when superseded.

506. District Directory (DIR-05 or equivalent). This monthly report includes approved projects grouped by EDA Districts within States. Includes applicants name, project number, project description, EDA funding and date of project approval.

Dispose when superseded.

507. Public Works Project Narrative Report. A monthly one-page narrative summary of area and project information. Issued on a project-by-project basis for those public works projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

508. Project Narrative-BL Changes. A one-page narrative summary of area and project information. Issued on a project-by-project basis for those Business Loans projects that have had changes or updated data submitted within the past month and working capital guarantees.

Dispose when superseded.

509. Project Narrative-PG Changes. A cumulative one-page narrative summary of area and project information. Issued on a project-by-project basis for those Planning Grant projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

510. Project Narrative-TA Changes. A one-page narrative summary of area and project information. Issued on a project-by-project basis for Technical Assistance projects that have had changes or updated data submitted within the past month.

Dispose when superseded.

511. Construction Project Index. A biweekly numerical listing of all public works projects found in the status report. Arranged by Regional Office.

Dispose when superseded.

512. Projects Completed Through Step 20 (PW-09 or equivalent). This is a computer printout showing project number, location, state, EDA costs, and acceptance date. This report is cumulative to the extent that it contains all data presented on projects that have not gone through steps beyond Step 20 are dropped from the report and included in projects completed through step 22, report no. PW-010.

Dispose when superseded.

513. Construction Warranty Expired (PW-010 or equivalent). This quarterly report shows project number, location, state, EDA costs, and date through Step 22 (Final Payment) and Step 23 (Warranty Expires).

Dispose when superseded.

SAMPLES - Retain the first case file closed during each even fiscal year (Such as FY 78, FY 80, etc.) of Items 175, 176, 240, 250, 269, 279, 300, 301, 378, 380, 398, 399, 453, 457, 466, 472, 475, and 476.

The retention period of each of these items shows the requirement for sampling.

Operating units holding records described under the items enumerated above should NOT withdraw any sample records. Samples will only be withdrawn after records are transferred to a holding area or a Federal Archives and Records Center and after the records become eligible for destruction.

ADDENDUM

DEPUTY ASSISTANT SECRETARY FOR ECONOMIC DEVELOPMENT
Indian Program Staff

38a. Promotional Audio-visual Records, Indian Program. Audio-visual records involving promotion of EDA indian business development programs consisting of the EDA record copy of such presentations as:

- a. A film dealing with the San Carlos Indian Tribe of Arizona and its mining activities;
- b. A slide presentation demonstrating the benefits Indian tribes can derive from EDA programs;
- c. A slide presentation tailored for tribal councils demonstrating the benefits to indians from promotion of industrial development.

Permanent. Retire to SHA when no longer needed for current business for offer of direct transfer to the Archives of the United States. (*Item 1, NC1-378-81-1*)

OFFICE OF PUBLIC AFFAIRS
Publications Division

195. Audio-visual Records, Public Affairs. EDA centralized record copies of various audio-visual materials consisting of:

- a. Color Slides. These are original color transparencies created for EDA under contract or by the photographic laboratory of the Department, as well as some copies received from private sources. Such slides document EDA-funded activities and conditions of unemployment in various areas of the U.S. Primarily, arranged by subject.

Permanent. Break file every 10 years. Five years after the break, retire inactive slides to SHA for offer of direct transfer to the Archives of the United States.

1981 Rev.

- b. Log Book to Color Slides. Log book serving as control to color slides collection. The log book is arranged by slide number and indicates captions and subject code of slides.

Permanent. Offer photo-copies of the pages of the book covering the color slides offered for transfer to the Archives of the United States along with the slides being offered.

- c. Captioned Black and White Prints, and Some Related Negatives. This collection of black and white prints documents persons, events, sites, and scenes of significance covering the development and operation of EDA and its programs and projects for development of jobs and economic activity. The prints are arranged by state and thereunder alphabetically by community.

Negatives for any of the photographs taken by the Department photographic laboratory are maintained by that laboratory. Some copy negatives are included in the file for photographs received from outside sources.

Permanent. Break file every 10 years. Five years after the break, retire inactive documentation to SHA for offer of direct transfer to the United states.

- d. Motion Picture Films. These are prints of films produced by grantees, or which document the results of EDA grants or other fund distribution, and which were aquired by program offices.

Permanent. Retire to SHA when no longer needed for current business for offer of direct transfer to the Archives of the United States. (Item 2, NC1-378-81-1)

OFFICE OF POLICY EVALUATION AND RESEARCH
Economic Research Division

- 307a. National Public Advisory Committee on Regional Economic Development. The file consists of agendas, minutes of meetings, rosters, reports and recommendations, correspondence, and presentations made at meetings of the full committee and various subcommittees. This public committee served as a policy and advisory committee to EDA from 1965 to the present providing outside input in its policy and development activities. Arranged by meeting.

Permanent. Retire to SHA when 3 years old. Transfer to WNRC 1 year thereafter. Offer for transfer to the National Archives when 20 years old. (Item 4, NC1-378-81-1)

OFFICE OF PROGRAM OPERATIONS
Administrative Support Division

- 319a. Economic Development Operations Correspondence File. The file consists of incoming and outgoing communications and related papers prepared in the Division concerning inquiries from Congressmen, Senators, Mayors, government officials, members of State legislatures, private citizens, and the public pertaining to various economic development activities that are the responsibility of the Deputy Assistant Secretary for Economic Development. The record copy file of all such policy or precedent correspondence is maintained by the Executive Secretariat of the EDA. Arranged by State and date thereunder.

Dispose of when 2 years old. (Item 6, NC1-378-81-1)

- 319b. Administrative Subject File. These are office copies of papers pertaining to budget, personnel, time and attendance, overtime, travel, requisition and purchase orders, and other housekeeping activities.

Dispose of when 2 years old. (Item 7, NC1-378-81-1)

OFFICE OF PUBLIC INVESTMENTS
Long Term Economic Deterioration Division

- 367a. Division Revolving Loan Fund Grant Case Folders. These are Division working copies of the documentation involving the development and monitoring of revolving loan fund grants made to various public organizations to overcome long term economic deterioration problems in a particular area. These documents include a copy of the project profile, materials regarding headquarters evaluation of the proposed grant, the application of the requester, correspondence with the appropriate regional office, copies of the requester's loan administration plan submitted with the application, the request for reservation of program funds form, the special conditions statement, and related papers. These working copy case folders are needed by the Division to administer this demonstration program carried out by the Regional Offices, and are in addition to the central headquarters skeleton case files maintained by the Director of the Office of Public Investments and the master file on the case maintained by the appropriate EDA regional office. The files contain amendments and modifications to the original approved grant.

Retire to SHA 5 years after approval for transfer to WNRC. Dispose of when 10 years old. (Item 8, NC1-378-81-1)

1981 Rev.

367b. Long Term Economic Development Program Subject File . This general correspondence subject file maintained by the Division Director on the long term economic deterioration program covers such matters as the neighborhood business revitalization program, Presidential initiatives, rural water-sewage programs, rural transportation problems, reindustrialization program, other interested-agency development programs, gasahol, and other related economic development matters. Policy correspondence is maintained by the EDA secretariat.

Move active files forward as needed and dispose of when 5 years old. (*Item 9, NC1-378-81-1*)

367c. Administrative Subject File. These are office papers pertaining to such matters as time and attendance, travel, procurement, personnel, budget, requisitions for services, briefings, and related or similar housekeeping matters.

Dispose of when 2 years old. (*Item 10, NC1-378-81-1*)

367d. Chronological File. The file consists of an extra copy of documents prepared in the Division and maintained in date order.

Dispose of when 2 years old. (*Item 11, NC1-378-81-1*)