

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO N1-151-87-16	DATE RECEIVED 9-14-87
1 FROM (Agency or establishment) U.S. Department of Commerce		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION International Trade Administration		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION		DATE 12-2-87	ARCHIVIST OF THE UNITED STATES <i>Frank J. Runkle</i>
4 NAME OF PERSON WITH WHOM TO CONFER Charles J. Brett	5 TELEPHONE EXT 377-3430	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 9 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence is attached, or is unnecessary.

B DATE 9-11-87	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles J. Brett</i>	D TITLE ITA Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p style="text-align: center;">GENERAL ADMINISTRATION: ITA RECORDS COMMON TO ALL OFFICES</p> <p>The records described in the following items are found in the constituent units of the International Trade Administration. They are listed here with the indicated retention periods deemed sufficient to meet all legal, administrative, and fiscal requirements. <u>Where these records are described elsewhere under individual organizational components, the longer retention period will prevail.</u></p>		

1. Administrative Subject File--documents relating to management operations that are of a housekeeping or a general administrative nature. Records deal with such matters as budget; office space; directives; requisitions (forms CD-10, or equivalent; CD-435, or equivalent; etc.) for printing, equipment, furniture or services; meeting arrangements; security (general); time and attendance (form CD-440, or equivalent); travel requests and authorizations; and similar functions. Generally, these are arranged alphabetically by subject.

- a. Announcements, ITA Administrative Instructions and Organization and Functions Orders, Department Administrative and Organization Orders, and the like maintained solely for reference purposes--Destroy in office space when superseded or obsolete.
- b. Time and Attendance records (CD-440, or equivalent)--Destroy in office space when 3 years old.
- c. All other papers--Destroy in office space when 2 years old.

2. Press Releases, Statements, Speeches, and Testimonies -- information copies of the items specified in the title except those specifically listed under an appropriate organizational component in the ITA Records Control Schedule. These are used as precedents and for general reference purposes. Record copies of these are maintained by appropriate units within the Office of the Secretary for as long as necessary.

Destroy in office space when 2 years old.

3. Chronological, Reading, Tickler, or Suspense Files--extra copies of correspondence maintained for convenience of reference, or to indicate a due date for an action. In some cases, these copies are removed from such files and used for cross-reference and other purposes in subject files. This, of course, liquidates the extra copy file. Filed in date order.

Destroy in office space when no longer needed for reference or when 1 year old, whichever is sooner.

4. Reproducibles File--includes manuscripts (camera copy), papers, photographic, and various other types of plates or media used to reproduce multiple copies of documents for distribution. Filed by subject or number, as appropriate.

Destroy in office space when no longer needed for reference or 1 year after completion of job, whichever is sooner.

5. Charity Campaign and Bond Drive File--papers pertaining to the annual Combined Federal and U.S. Savings Bond Campaigns. Arranged chronologically.

Destroy in office space when 3 months old or when no longer needed for reference, whichever is sooner.

6. Employment Applications--copies of applications (form SF-171, or equivalent) and related papers submitted by persons seeking employment in the organization. Excluded from this description are records relating to appointments requiring Senatorial confirmation.

- a. Successful Applicant--Forward application to the appropriate Personnel Office, whether at headquarters or in the field.
- b. Unsuccessful Applicant--Destroy in office space upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed.

7. Classified Information Accounting and Control Records--are comprised of the following elements:

- a. Administrative correspondence pertaining to the administration of security classification, control, and accounting for classified documents, but EXCLUDING manuals, directives, plans, reports and correspondence reflecting the development of policies and procedures in the administration and direction of security and protective service programs.
- b. Classified Document Receipts (form CD-76, or equivalent) relating to the receipt and issuance of classified documents.
- c. Destruction Certificates relating to the destruction of classified documents.
- d. Classified Document Inventory (form CD-297, or equivalent) consisting of forms, ledgers or registers used to show the identity, internal routing, and final disposition made of classified documents, EXCLUSIVE of Top Secret material.

Items a. through d. - Destroy in office space when 2 years old.

8. Top Secret Accounting and Control Files--

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch or destruction of the documents.

Destroy in office space 5 years after documents or forms are downgraded, transferred or destroyed.

- b. Forms accompanying documents to insure continuing controls, showing names of persons handling the documents, intra-office routing, and comparable data.

Destroy in office space when the related document is downgraded, transferred or destroyed.

9. Classified Document Container Security Files--forms or lists used to record safe or padlock combinations, the names of the individuals knowing combinations, and comparable data used to control access to classified document containers.

Destroy in office space when superseded by a new form or list, or upon turn-in of containers.

10. Indexes or Check Lists--bibliographies, check lists and indexes of agency publications, releases, case files, and the like, EXCLUDING those cited elsewhere in the ITA Records Control Schedule under the appropriate organizational heading.

Destroy in office space when superseded or obsolete.

11. Personnel Statistical Reports--machine-produced reports showing ITA employment by name, grade, job classification, organizational unit, and other categories. Produced periodically, e.g., quarterly, or on an as-needed basis. The record copy is maintained by ITA's Office of Personnel.

Destroy in office space when superseded or obsolete.

12. Personnel Files Maintained Outside Personnel Offices --correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action; and records on individual employees duplicated in or not appropriate for the Official Personnel Folder. Supervisors generally maintain these files.

Review annually and destroy superseded or obsolete documents in office space or destroy in office space all documents relating to an individual employee 1 year after separation or transfer.

13. Information Requests File--requests for information and copies of replies thereto. These involve no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittal of publications, photographs and other informational literature.

Destroy in office space 3 months after transmittal or reply.

14. Acknowledgement Files--acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy in office space 3 months after acknowledgement and referral.

15. Mailing Lists--correspondence, request forms, and related records pertaining to the establishment and/or revision of mailing lists. Also included here is a copy of the list.

a. Documents initiating revisions--Destroy in office space after revising mailing list or after 3 months, whichever is sooner.

b. Mailing list--Destroy in office space when superseded or obsolete.

16. Records/Logs of Mail, Visitors or Telephone Calls--daily records of mail, visitors or telephone calls handled.

a. Mail and Telephone Logs/Records--Destroy in office space when 1 year old.

b. Visitor Logs/Records--Destroy in office space when 2 years old.

17. Technical Information Files--working papers, drafts and extra copies of documents, and printed and processed material maintained by individual employees throughout ITA. These are of reference value only and provide individuals with background information in accomplishing their assigned duties. Whenever working documents or preliminary drafts of papers provide SUBSTANTIVE INFORMATION on an issue or case of significant importance, such documents should be made part of the official file. Otherwise, the types of papers noted here have immediate relevance and value only to the individual accumulating them and provide no insights into the official activities, functions, policies, and procedures of the organizational unit where they are maintained. File is generally arranged by subject.

Destroy in office space when no longer needed for reference or when 10 years old, whichever is sooner. Transfer to FRC not authorized.

18. Congressional Correspondence File--correspondence between ITA offices and members of Congress. The correspondence is generally in response to ROUTINE requests for information on ITA policies and programs of specific interest to the inquirer or his constituents. Copies of all Congressional correspondence are maintained by appropriate units within the Office of the Secretary for a period sufficient to meet all administrative, legal, and historical needs. File is generally maintained alphabetically by name of addressees.

Destroy in office space when 2 years old.

19. Freedom of Information Act (FOIA) Requests Files--created in response to requests for information under the Freedom of Information Act. These consist of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested records or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy in office space 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy in office space 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under item 20.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under item 20.

b. Official file copy of requested records.

Dispose of in accordance with approved ITA Records Control Schedule instructions for the related records or with the related FOIA request, whichever is later.

20. FOIA Appeals Files--created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, any related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.

- b. Official File copy of records under appeal.

Dispose of in accordance with approved ITA Records Control Schedule instructions for the related record or with the related FOIA request, whichever is later.

21. Privacy Act Requests Files--created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

- (1) Granting access to all the requested records.

Destroy in office space 2 years after date of reply.

- (2) Responding to request for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

- (a) Requests not appealed.

Destroy in office space 2 years after date of reply.

- (b) Requests appealed.

Destroy as authorized under item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under item 22.

b. Official file copy of requested records.

Dispose of in accordance with approved ITA Records Control Schedule instructions for the related records or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files--relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

a. Request to amend agreed to by agency. Includes individual's request to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

Dispose of in accordance with the approved ITA Records Control Schedule instructions for the related subject individual's records or 4 years after agency's agreement to amend, whichever is later.

b. Request to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

Dispose of in accordance with the approved ITA Records Control Schedule instructions for the related subject individual's records, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

c. Appealed request to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

Dispose of in accordance with the approved ITA Records Control Schedule instructions for the related subject individual's records or 3 years after final adjudication by courts, whichever is later.

23. Privacy Act Accounting of Disclosure Files--maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with the approved ITA Records Control Schedule instructions for the related subject individual's record or 5 years after the disclosure for which the accountability was made, whichever is later.

24. Career Development and Training Work Files--papers generated or collected to keep informed of and participate in all career development programs and training opportunities offered by ITA, the Department, Federal agencies, or the private sector.

These are workpapers of short-term value. Substantive training results are documented in the Official Personnel Folders of the employees concerned.

Destroy individual documents or contents of file folders in office space when they have served their purpose.

25. Personal Computer (PC) File--staff members throughout ITA use PC's for text processing and editing documents. Drafts of correspondence, memoranda, reports and related papers are entered into the system and edited as necessary, prior to production of a hard copy. Hard copies of the data are then printed, and subsequently filed within one of the records series maintained by the creating unit.

- a. Source documents, such as drafts of correspondence, memoranda and reports. Destroy upon verification of data on related magnetic media (for example, floppy disk).
- b. Hard Copies of Documents.
 - (1) Official File Copy. File in the appropriate subject or case file maintained by the creating office.
 - (2) Duplicate Copies. Destroy in office space when no longer needed for reference.
- c. Magnetic Disks. Erase data when no longer needed for reference and re-use the disk.