

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*(See Instructions on reverse)*

LEAVE BLANK

JOB NO

*NI-151-88-Z*

DATE RECEIVED

*12-9-87*

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

NOTIFICATION TO AGENCY

1 FROM *(Agency or establishment)*

U.S. Department of Commerce

2 MAJOR SUBDIVISION

International Trade Administration

3 MINOR SUBDIVISION

Assistant Secretary for Trade Development

4 NAME OF PERSON WITH WHOM TO CONFER

Charles J. Brett

5 TELEPHONE EXT

377-3430

DATE

*1/8/88*

ARCHIVIST OF THE UNITED STATES



In accordance with the provisions of 44 U.S.C. 3025, the disposal request, including amendments, is approved except for items that may be marked "disposal not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

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	C SIGNATURE OF AGENCY REPRESENTATIVE	D TITLE
<i>12-4-87</i>	<i>Charles J. Brett</i>	ITA Records Management Officer

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	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN 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>Deputy Assistant Secretary for Trade Adjustment Assistance</p> <p>The Deputy Assistant Secretary (DAS) for Trade Adjustment Assistance directs the trade adjustment assistance program authorized under Chapters 3 and 4 of Title II of the Trade Act of 1974. This pertains to trade adjustment assistance given to firms, industries and communities.</p> <p>The DAS directs the certification of firms eligible to apply for assistance, directs the provisions of technical and financial assistance to certified firms, and, develops a monitoring program to assure that firms comply with the terms of their adjustment proposals and any agreements pertaining to the adjustment assistance received. He coordinates these activities with other federal agencies, including the U.S. Department of Labor, the International Trade Commission, and the Office of the United States Trade Representative (USTR). The DAS also provides representation for the Commerce Labor Adjustment Action Committee (CLAAC).</p>		

Immediate Office of the Deputy Assistant Secretary

1. Deputy Assistant Secretary's (TAA) Subject Correspondence File- alphabetical subject files consisting of incoming and outgoing correspondence, memoranda, reports, studies and related papers. These deal with the management of the trade adjustment assistance program, issues of interest to the DAS and his staff, and the management of activities of the organizational units reporting to the DAS. Some project-related documents are found within the file also.

Included among the subjects are American Electronics Association, Assistant Secretary/Trade Development Letters, Cabinet Council on Economic Affairs, FAD Debt Management, House Ways and Means TAA Hearings, Japan Issues, Proposed Suspension and Debarment Issues, and TAA Legislative Strategy.

Retire closed subject files to RSHF every 2 years. Transfer immediately to WNRC. Destroy when 5 years old.

## Records Relating to Certification

This unit develops policies, plans and procedures to certify firms eligible to apply for trade adjustment assistance. The staff reviews certification petitions for acceptance or rejection, conducts investigations for all accepted petitions, and issues certificates of eligibility to (or denies the petitions of) firms under the terms of the Trade Act of 1974, as amended.

The staff controls the certification process and makes reports on the trade adjustment activity to appropriate units within ITA and the Department. It further provides policy guidance and direction to U.S. and Foreign Commercial Service District Offices regarding trade adjustment and industry assistance projects, including specialized training for staff.

2. Trade Act Certification Case Files - document the determinations made about the eligibility of domestic firms that have petitioned for certification of eligibility for adjustment assistance under the Trade Act of 1974. These include accepted, rejected, certified, decertified, withdrawn, denied, or terminated cases. The file is arranged alpha-numerically by case number, and also includes the petitioner's name.

- a. Cases of a Precedential Nature and those involving Technical or Financial Assistance given to a firm - Retire to RSHF 3 years after determination of action. Transfer to WNRC 1 year later. Destroy when 20 years old.
- b. All other cases - Retire to RSHF 3 years after determination of action. Transfer to WNRC 1 year later. Destroy when 10 years old.

3. Trade Act Subject Files - papers of a non-case nature pertaining to the administration and operation of the Trade Act Certification program. These are arranged alphabetically by subject, including: Adjustment Assistance Coordinating Committee Meetings, GAO Reports on TAA, Monthly Reports, Policy Issues, TACD Functions, TAA-ITA Transition Task Force, and Trade Adjustment Assistance Centers.

Review files annually and destroy individual documents or entire contents of file folders in office space when no longer needed for reference.

4. Chronological Files - copies of documents prepared in the office and related records. These are filed by date.

Destroy in office space when 3 years old.

5. Trade Act Certification Data System - the staff enters a variety of data into a personal computer about the case files the office processes. The data include the project file number; the name and location of the petitioning firm; the type of product the firm manufactures; the petition milestones, such as the date received and the date accepted; and, the determination the office makes on the petition.

The staff uses the resultant hard copy reports of the data to answer case inquiries, to track the status of cases, and to meet such other management needs as may arise from time to time. Three principal reports are presently generated, namely: Alphabetical Listings of Petitioning Firms; a Certification Calendar for Firms under the Trade Act of 1974; and, a Petition Log.

- a. Source documents, such as the petition or other case-specific papers - File in the appropriate case file upon verification of the data on related magnetic media (for example, hard disk).
- b. Hard Copies of Documents.
  1. Official File Copy - File in the appropriate subject file maintained in the 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.

## Records Relating to Technical Assistance

This unit develops policies, guidelines and procedures for providing technical assistance under the Trade Act of 1974 to firms and industries adversely affected by imports. Among its functions are to establish, supervise, coordinate and monitor the operation of Trade Adjustment Assistance Centers (TAACs) to assure uniform operations; provide assistance to firms through TAACs which provide grants and cooperative agreements to industry associations and other organizations that will perform tasks to improve an industry's competitiveness; and coordinate technical assistance activities with other ITA units, Federal agencies and departments.

6. Technical Assistance Cooperative Agreement and Contract Project Case Files - These cooperative agreements or contracts awarded to TAACs or to help trade-injured firms and industries consist of such materials as pre-approval papers including the application or recipient/consultant proposal, Request for Proposal, papers documenting the agreement or contract, papers reflecting monitoring of cooperative-contractor activities, reports, accounting documents, preliminary or final reports, audit matters, and documents relating to firms assisted by the ITA-funded Trade Adjustment Assistance Centers (TAACs).

Cases are closed upon receipt of a final report, upon final payment, and/or resolution of any audit issues. Individual firm assistance files are closed once TAAC assistance to the firm is completed or becomes inactive.

Retire closed cases to RSHF 2 years after closure.

- a. Sample. Permanent. Retain in agency space and transfer to WNRC when volume equals one cubic foot. (Sample: first cooperative agreement file closed during each even fiscal year (FY 1984, FY 1986, etc.)) Transfer to National Archives when 15 years old.
- b. All other files. Transfer to WNRC 4 years after closure. Destroy when 12 years old.

7. Denied and Withdrawn Technical Assistance Applications - Applications and related papers that are either voluntarily withdrawn by the applicant or denied by ITA because the applicant failed to meet technical assistance requirements.

Destroy in office space 3 years after the application's denial or withdrawal, or when no longer needed for reference, whichever is later.

8. Director's Chronological File - copies of documents prepared or signed by the Division Director. Filed in date order.

Destroy in office space when 10 years old.

## Records Relating to Financial Assistance

This unit develops policies, procedures and guidelines for evaluating applications for loans and loan guarantees to be provided to certified firms. Upon receipt, the staff reviews all proposals and applications to ensure compliance with applicable regulatory and statutory requirements.

In the instance of formal adjustment proposals, they determine if the firm can recover from the impact of foreign competition or enter a new market. After approval of the loan or loan guarantee, the staff supervises the financial provisions of the agreement, including negotiating loan terms; recommending comprehensive financing; monitoring adherence to adjustment plans and assistance granted; and, deobligating loan funds no longer required because of withdrawals, cancellations, or underruns.

9. Director's Program Subject File - correspondence, reports, proposals and related documents arranged by subject. These pertain to the administration and documentation of the trade adjustment assistance direct loan and loan guarantee program. The files deal with conferences, GAO reports, interagency agreements, policies, procedures, the Trade Act of 1974 and its implications for trade adjustment assistance, and related matters regarding the Division's non-project activities. The file has long-term value to the staff as it provides an institutional memory useful in responding to adjustment assistance questions from both the public and private sectors.

Review files annually and destroy individual documents or entire contents of file folders in office space when no longer needed for reference.

10. Approved Financial Assistance Direct Loan Project Case Files - consist of the record copies of project files dealing with ITA's direct loan program to private firms under the trade adjustment assistance program.

These case files may have up to four major subdivisions. The first two volumes are established for all projects, while the third is established at loan closing and the fourth volume is created if the firm receiving assistance develops serious economic difficulties. The volumes may be summarized as follows:

(I) Documentation pertaining to the preapproval and the submission and approval of the loan application.

(II) Documentation relating to the closing and servicing of the loan and reports on its financial condition and eventual loan repayment papers.

(III) Documentation of a legal nature including security agreements and related papers, excluding the originals of any notes, which EDA's accounting division maintains.

(IV) Documentation for failing companies including ITA's liquidation of company assets in order to cover existing loans.

The loan case folders are closed after repayment is made or some form of settlement or liquidation is completed.

Retire closed cases to RSHF 1 year after closure.

- a. Sample. Permanent. Retain in agency space and transfer to WNRC when volume equals one cubic foot. (Sample: first direct loan case file closed during each even fiscal year (FY 1984, FY 1986, etc.)) Transfer to the National Archives when 15 years old.
- b. All other case files - Transfer to WNRC 1 year later. Destroy when 10 years old.

11. Financial Assistance Loan Guarantee Case Files - these are the record copies of cases in which ITA guarantees a loan made to a business by a private bank or financial institution. ITA provides this assistance when such businesses can not obtain direct loans from financial institutions, either by fixed asset or working capital loan guarantees.

The case files are closed upon settlement or liquidation of the business.

Retire closed cases to RSHF 1 year after closure, provided the volume of files equals one cubic foot.

- a. Sample. Permanent. Retain in agency space and transfer to WNRC when volume equals one cubic foot. (Sample: first loan guarantee case file closed during each even fiscal year (FY 1984, FY 1986, etc.)) Transfer to the National Archives when 15 years old.
- b. All other case files-- Transfer to WNRC 1 year later. Destroy when 6 years old.

12. Denied or Withdrawn Financial Assistance Project Case Files - project applications or other preapproval documentation on proposed requests for direct loans or loan guarantees that were not approved or were withdrawn by the applicant.

Retire closed cases to RSHF 1 year after closure, provided volume of files equals one cubic foot. Transfer immediately to WNRC. Destroy when 6 years old.

13. Collateral Instruments -- are the "original" documents or specific evidence of indebtedness pledged by a business to cover the ITA loan or guarantee. These may include collateral mortgages, personal guarantees, pledged inventories, assigned contracts, assigned accounts receivable, assigned life insurance policies, and similar financial 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 RSHF 1 year after liquidation. Transfer to WNRC 1 year later. Destroy when 25 years old.

Records Relating to the Trade Adjustment Assistance Database Management System

The Trade Adjustment Assistance staff is implementing an Ashton-Tate DBase III software package to provide timely data on a variety of TAA Program Activities. The system is intended to:

- o Allow closer coordination of work among the different OTAA divisions as well as with other Departmental offices;
- o Improve internal operations by providing management with timely information on the number of applications received in the pipeline, potential back logs, and historical information about the program;
- o Develop accurate information on the nature and identity of firms applying for certification or assistance, and for program planning and evaluation purposes; and
- o Allow TAA to be more responsive to inquiries from applicants, other Federal agencies, Congress or the private sector about the TAA program.

When the system becomes fully operational, a detailed item describing the records, whether on electronic or textual media, shall be included in this Schedule.

14. (Reserved)

Records Common to All Trade Adjustment Assistance Units

These include Administrative Subject Files, Inquiry Files, and Staff Working Files, among others. Their disposition is provided for in the ITA Records Control Schedule, Section I. General Administration: ITA Records Common To All Offices. Please refer to that Schedule for records disposition instructions applicable to the files listed above and related records. An index to such records is found on the last page of this schedule.