

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		AVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER NI-056-09-19	
1 FROM (Agency or establishment) Department of Treasury		DATE RECEIVED 8/4/09	
2 MAJOR SUBDIVISION Departmental Offices		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Office of Inspector General		In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER Evangelina C Wimbush-Jeffrey	5 TELEPHONE 202-622-6120	DATE	ARCHIVIST OF THE UNITED STATES WITHDRAWN WITHDRAWN
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>1</u> 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE 8/4/09	SIGNATURE OF AGENCY REPRESENTATIVE <i>Evangelina C Wimbush-Jeffrey</i>		TITLE Departmental Offices Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<p>EntelliTrak Correspondence Management-FOIA Tracking System</p> <p>Background: The FOIA Tracking System facilitates the manageability and efficiency of the Freedom of Information Act (FOIA) and Privacy Act (PA) process in the OIG, Office of Counsel. The system will allow the tracking of FOIA/PA requests from receipt to completion, provide valuable information to OIG staff working with the FOIA/PA programs, help to identify duplicate requests, action taken on FOIA/PA requests, appeals, and litigation, provide internal reports and improve customer service. 5 U S C 552 and 5 U S C 552a are the authorizing laws.</p> <p>Description: EntelliTrak Correspondence Management-FOIA Tracking System is a web-based system that provides a range of features including A complete set of data elements and on-screen formatting recommended for case management, a platform independent architecture (including Windows and UNIX), broad database compatibility, including Oracle and MS SQL Server, browser-based (MS internet Explorer, Netscape) access requiring no software to be installed on the users' desktop, and low system maintenance requirements.</p> <p>Inputs:</p>		

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Information in this system comes primarily from the individuals who submit FOIA/Privacy Act requests, internally generated documents, and employees processing the requests

Disposition: TEMPORARY Destroy 90 days after request is closed. GRS 20.2b

System Data:

Individuals who have submitted FOIA/PA requests and administrative appeals, individuals whose requests or records have been referred to the OIG by other agencies, and in some instances attorneys representing individuals submitting such requests, appeals and litigation, individuals who are the subject of such requests, appeals, litigation, and/or the OIG personnel assigned to handle such requests, appeals and litigation. The content of the system are from 2004 to 2009

GRS 14 11, 14 12, 14 13, 14 21, 14 22

I. FOIA Requests Files Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof

A. Correspondence and supporting documents

- (1) Granting access to all the requested records
TEMPORARY Destroy 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
TEMPORARY Destroy 2 years after date of reply
 - (b) Request appealed
TEMPORARY Destroy as authorized under FOIA Appeal Files
- (3) Denying access to all or part of the records requested
 - (a) Request not appealed
TEMPORARY Destroy 6 years after date of reply
 - (b) Request appealed
TEMPORARY Destroy as authorized under FOIA Appeal Files

B. Official file copy of requested records.

TEMPORARY Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later

II. FOIA Appeals Files: 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, and related supporting documents, which may include the official file copy of records under appeal or copy thereof

Erin Caye 8/28/09
Per discussion with agency Records Officer it was agreed to alter this disposition to that of GRS 20.2b

WITHDRAWN

GRS 14.11a(1)

GRS 14.11a(2a)

GRS 14.11a(2b)

GRS 14.11a(3a)

GRS 14.11a(3b)

GRS 14.11b

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a Correspondence and supporting documents
TEMPORARY Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later

GRS 14.12a

b Official file copy of records under appeal
TEMPORARY Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later

GRS 14.12b

III. FOIA Control Files:

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester

a Registers or listing
TEMPORARY Destroy 6 years after date of last entry

GRS 14.13a

b Other files
TEMPORARY Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later

GRS 14.13b

IV. Privacy Act Requests Files:

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

WITHDRAWN

a Correspondence and supporting documents
(1) Granting access to all the requested records
TEMPORARY Destroy 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

GRS 14.21a(1)

(a) Requests not appealed
TEMPORARY Destroy 2 years after date of reply

GRS 14.21a(2a)

(b) Requests appealed
TEMPORARY Destroy as authorized under Privacy Act Amendment Case Files

GRS 14.21a(2b)

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

(a) Requests not appealed
TEMPORARY Destroy 5 years after date of reply

GRS 14.21a(3a)

(b) Requests appealed
TEMPORARY Destroy as authorized under Privacy Act Amendment Case Files

GRS 14.21a(3b)

b Official file copy of requested records
TEMPORARY Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later

GRS 14.21b

V. Privacy Act Amendment Case Files:

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U S C

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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 5 U S C 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 Requests to amend agreed to by agency Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials

TEMPORARY Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later

b Requests 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

TEMPORARY Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later

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

TEMPORARY Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later

Outputs:

Reports are created from this system on an as needed basis The status of request is given from this system when requested

I. FOIA Report Files

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level GRS 14 14

Disposition TEMPORARY Destroy when 2 years old

System Documentation:

Codebooks, records layout, user guide, and other related materials

Disposition: TEMPORARY ~~Delete/destroy when superseded or 5 years after the system is obsolete, whichever is later.~~ GRS 20.11a(1)

GRS 14.22a

GRS 14.22b

GRS 14.22c

GRS 14.14

WITHDRAWN

in Cayo 8/28/09

Per discussion with agency Records Officer, it was agreed to alter this disposition to that of GRS 20.11a(1)