

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

4 Nov 81

LEAVE BLANK	
JOB NO.	NCL-56-82-2
DATE RECEIVED	November 5, 1981
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
WITHDRAWN	
Date	Archivist of the United States

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

1. FROM (AGENCY OR ESTABLISHMENT)
Department of the Treasury

2. MAJOR SUBDIVISION
Office of the Secretary

3. MINOR SUBDIVISION
Departmental Disclosure Branch

4. NAME OF PERSON WITH WHOM TO CONFER
Rita A. DeNagy

5. TEL. EXT.
376-1569

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 8 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 8-21-81	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Irving M. Nelson, Jr.</i>	E. TITLE Sarah J. Allen, Chief Communications and Records Mgmt Branch
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center">FOI/PRIVACY ACT SCHEDULE OFFICE OF THE SECRETARY DEPARTMENT OF THE TREASURY</p> <p>This schedule covers records created by the Departmental Disclosure Office with respect to files accumulated in carrying out the provisions of the Freedom of Information Act (FOI) and the Privacy Act (PA).</p> <p>This schedule provides also for the records created by the Office of the Secretary "Program Review Offices" who are initially responsible for reviewing, granting, and approving or denying access to the records requested under FOIA or PA.</p> <p>These records consist of inquiries, replies, and any related correspondence, as well as, reports and appeal case files.</p>		

33 items

~~The "official file copy" of ANY document requested should NOT be considered a part of this schedule. Rather, it should be filed by subject and disposed of in accordance with the "Program" substantive records control schedule (i.e., Case files of Complaints of Discrimination by employees of the Treasury Department, TD 80-05.B 1:20) Any records being held for an appeal case may be pulled from the official file and kept with the FOI/PA case file until final adjudication by the courts. THE FILE THEN MUST BE RETURNED TO THE ORIGINAL FILING LOCATION FOR OFFICIAL DISPOSITION.~~

FREEDOM OF INFORMATION (FOI) RECORDS

1. FOI Administrative Files. Records relating to the Department of the Treasury's implementation of the FOI program including memoranda and routine correspondence.

WITHDRAWN

- a. Departmental Document Disclosure Office, Program Review Office or held generally in OS offices.

DISPOSITION: Destroy when 2 years old.

2. FOI Reports Files. Recurring reports and one-time information requirements relating to the implementation of the FOIA, including the official file copy of the annual report to Congress.

WITHDRAWN

- a. Departmental Document Disclosure Office files.

DISPOSITION: PERMANENT: Offer to NARS with other administrative management records approved for permanent retention under this schedule or when 15 years old, whichever is sooner.

- b. Program Review Office files.

DISPOSITION: Destroy when 2 years old.

3. FOI 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 requestor.

WITHDRAWN

- a. Departmental Document Disclosure Office files.

DISPOSITION: Destroy 5 years after date of last entry.

- b. Program Review Office files.

DISPOSITION: Destroy 5 years after final action by Treasury or after final adjudication by the courts, whichever is later.

~~4. FOI Case Files Access Granted. Cover all case files wherein FULL access was granted. Files consist of the original request, a copy of the reply thereto, and all background material including copy of requested records.~~

WITHDRAWN

- a. Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

~~DISPOSITION: Break files annually. Destroy 2 years after date of reply.~~

- b. Program Review Office. These are the case files with original incoming letter, copies of material released, outgoing reply and yellow copy of TD F 82-00.1.

~~DISPOSITION: Break files annually. Destroy 2 years after date of reply.~~

~~5. FOI Case Files-Access Denied. FOI cases wherein access was denied and case was not appealed.~~

WITHDRAWN

- a. Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

~~DISPOSITION: Break files annually. Destroy 2 years after date of reply.~~

- b. Program Review Office. These are the case files with original incoming letter, copies of material released, outgoing reply and yellow copy of TD F 82-00.1.

~~DISPOSITION: Break files annually. Destroy 5 years after date of reply.~~

~~6. FOI Cases Files responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.~~

WITHDRAWN

- a. Request NOT appealed.

- (1) Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

~~DISPOSTION: Destroy 2 years after date of reply.~~

- (2) Program Review Office. These are the case files with original incoming letter, copies of material released upon clarification of request, outgoing reply and yellow copy of TD F 82-00.1.

~~DISPOSTION: Destroy 2 years after date of reply.~~

~~b. Request appealed.~~

- (1) Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary, or 3 years after final adjudication by courts, whichever is later.

- (2) Program Review Office. These are the case files with original incoming letter, copies of material released upon clarification of request, outgoing reply and yellow copy of TD F 82-00.1.

DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary, or 3 years after final adjudication by courts, whichever is later.

7. FOI Appeal Files. Files created in response to administrative appeals under the FOI Act for release of information denied by the Treasury Department consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which includes copies of material released.

WITHDRAWN

- a. Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary, or 3 YEARS AFTER FINAL ADJUDICATION BY COURTS, WHICHEVER IS LATER.

- B. Program Review Office. These are the case files with original incoming letter, copies of material released, outgoing reply and yellow copy of TD F 82-00.1.

DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary, or 3 years after final adjudication by courts, whichever is later.

~~8. Requirement for Urgent Action (FOI/PA). TD F 82-00.1 is a 3 part form used to control all FOI/PA requests. This form remains with each request as it is routed through channels and records actions taken. (Example: time expended on case, types of copies provided and fees/charges collected.)~~

WITHDRAWN

- a. White copy is the original copy of the form that is filed in the Departmental Document Disclosure office.

~~DISPOSITION: Filed with Items 4a, 5a, 6a(1), 6b(1) and 7a for Freedom of Information and Items 4a, 5a, 6a(1) and 6b(1) for Privacy Act of this schedule and dispose of accordingly.~~

- b. Pink copy is the suspense copy used by the Departmental Document Disclosure Office to track FOI/PA requests.

~~DISPOSITION: Destroy when six months old.~~

- c. Yellow copy is the copy that is kept in the Program Review office FOI/PA case files.

~~DISPOSITION: Filed with Items 4b, 5b, 6a(2) and 6b(2) for Freedom of Information and Items 4b, 5b, 6a(2) and 6b(2) for Privacy Act and disposed of accordingly.~~

PRIVACY ACT (PA) RECORDS

~~1. Privacy Act General Administrative Files. Records relating to the Department of the Treasury's implementation of the Privacy Act program including memoranda and routine correspondence.~~

WITHDRAWN

- ~~a. Departmental Document Disclosure Office, Program Review Office or held generally in OS offices.~~

~~DISPOSITION: Destroy when 2 years old.~~

~~2. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to the implementation of the Privacy Act, includes annual reports to the Congress, the Office of Management and Budget, and the Report on New Systems.~~

WITHDRAWN

- ~~a. Departmental Document Disclosure Office files.~~

~~DISPOSITION: PERMANENT: Offer to NARS with other administrative management records approved for permanent retention under this schedule or when 15 years old, whichever is sooner.~~

- ~~b. Program Review Office files.~~

~~DISPOSITION: Destroy when 2 years old.~~

~~3. Privacy Act 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 requestor.~~

WITHDRAWN

- ~~a. Departmental Document Disclosure Office files.~~

~~DISPOSITION: Destroy 5 years after date of last entry.~~

- ~~b. Program Review Office files.~~

~~DISPOSITION: Destroy 5 years after final action by Treasury or after final adjudication by the courts, whichever is later.~~

~~4. Privacy Act Case Files-Access Granted. 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. Covers all case file wherein FULL access was granted.~~

WITHDRAWN

- ~~a. Departmental Document Disclosure Office. This office hold a copy of the incoming letter, response and white copy of TD F 82-00.1.~~

~~DISPOSITION: Break files annually. Destroy 2 years after date of reply.~~

~~b. Program Review Office. These are the case files with original incoming letter, outgoing reply granting access and yellow copy of TD F 82-00.1.~~

~~DISPOSITION: Break files annually. Destroy 2 years after date of reply.~~

5. Privacy Act Case Files-Access Denied. Privacy Act cases denying access to all or part of the records and case was NOT appealed.

WITHDRAWN

a. Departmental Document Disclosure Office. This office hold a copy of the incoming letter, response and white copy of TD F 82-00.1.

DISPOSITION: Break files annually. Destroy 5 years after date of reply.

b. Program Review Office. These are the case files with original incoming letter, outgoing reply stating denial of access and yellow copy of TD F 82-00.1.

DISPOSITION: Break files annually. Destroy 5 years after date of reply.

6. Privacy Act Cases Files responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

WITHDRAWN

a. Request NOT appealed.

(1) Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

DISPOSITION: Destroy 2 years after date of reply.

(2) Program Review Office. These are the case files with original incoming letter, outgoing reply with any related supporting documents and yellow copy of TD F 82-00.1.

DISPOSITION: Destroy 2 years after date of reply.

b. Request appealed.

(1) Departmental Document Disclosure Office. This office holds a copy of the incoming letter, response and white copy of TD F 82-00.1.

DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary or 3 years after final adjudication by courts, whichever is later.

~~(2) Program Review Office. These are the case files with original incoming letter, outgoing reply with any related supporting documents and yellow copy of TD F 82-00.1.~~

~~DISPOSITION: Break file upon adjudication of case. Destroy 4 years after final determination by the Office of the Secretary or 3 years after final adjudication by courts, whichever is later.~~

7. Privacy Act Amendment Case Files. Program Review Office files relating to:

WITHDRAWN

a. An individual's request to amend a record pertaining to that individual under 5 U.S.C. 552a(d)(2). These are requests to amend agreed to by Treasury. Includes individual's requests to amend and/or review refusal to amend, copies of Treasury's replies thereto, and related materials.

DISPOSITION: Destroy 4 years after Office of the Secretary's agreement to amend.

b. An individual's request for a review of the office's refusal of the individual's request to amend a record under 552a(d)(3). These are requests to amend refused by Treasury. Includes individual's requests to amend, and to review refusal to amend, copies of Treasury's replies thereto, statement of disagreement, Treasury justification for refusal to amend a record, and related materials.

DISPOSITION: Destroy 4 years after final determination by the Office of the Secretary or 3 years after final adjudication by the courts, whichever is later.

c. Any civil action brought by the Individual against the Office of the Secretary under 5 U.S.C. 552a(g). These are appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by the Office of the Secretary to amend a record.

DISPOSITION: Destroy 3 years after final adjudication by courts.

8. Privacy Act Accounting of Disclosure Files. 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, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

WITHDRAWN

DISPOSITION: Destroy 5 years after the disclosure for which the accountability was made. (Example: If disclosure of record was released on April 15, 1980, document of accountability may be destroyed on April 15, 1985.)