

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0081-2017-0003**

Schedule Status                 **Approved**

  

Agency or Establishment        **International Trade Commission**

Record Group / Scheduling Group **Records of the U.S. International Trade Commission**

Records Schedule applies to    **Major Subdivision**

Major Subdivision                **Office of the Secretary to the Commission**

Schedule Subject                 **Records of the USITC Office of the Secretary to the Commission**

Internal agency concurrences will be provided    **No**

**Background Information**

The U.S. International Trade Commission (USITC or the Commission) is an independent, quasi-judicial Federal agency established by Congress with a wide range of trade-related mandates. The USITC's mission is threefold: to administer U.S. trade remedy laws in a fair and objective manner; to provide the President, the U.S. Trade Representative (USTR), and Congress with independent, quality analysis, information, and support on matters of tariffs and international trade and competitiveness; and to maintain the Harmonized Tariff Schedule (HTS) of the United States. In doing so, the USITC serves the public by implementing U.S. law and contributing to the development and implementation of sound and informed U.S. trade policy.

The Office of the Secretary compiles and maintains the Commission's official records, including petitions, briefs, and other legal documents. Under the direction of the Secretary, the office issues Commission notices, reports, and orders, and it schedules and participates in all Commission meetings and hearings. The office makes determinations on requests for confidential treatment of information, requests for information to be released under protective order, and requests under the Freedom of Information Act.

The mission of the Office of the Secretary is to maintain the official records and documents of the U.S. International Trade Commission (USITC). The position of Secretary is provided for by statute (Section 331(a) of the Tariff Act of 1930, as amended (19 U.S.C. 1331(a)). The Secretary reports to the Commission.

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items

13	4	9	0
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GAO Approval

## Outline of Records Schedule Items for DAA-0081-2017-0003

Sequence Number	
1	<p>Electronic Document Information System (EDIS) is an electronic information system that maintains the U.S. International Trade Commission's (USITC) official investigative case files in a centralized electronic document repository. EDIS is a client/web server database application that was placed into production in 1995. EDIS allows registered users to submit documents electronically. The USITC uses the electronic record in EDIS as the record copy relating to an investigation conducted by the agency.</p> <p>Disposition Authority Number: DAA-0081-2017-0003-0001</p>
2	<p>Violation of Protective Order</p>
2.1	<p>Documents subject to expungement by Commission rule. Disposition Authority Number: DAA-0081-2017-0003-0002</p>
2.2	<p>All other documents. Disposition Authority Number: DAA-0081-2017-0003-0003</p>
3	<p>Action Jackets</p>
3.1	<p>Action jackets relating to rulemaking. Disposition Authority Number: DAA-0081-2017-0003-0004</p>
3.2	<p>Other action jackets. Disposition Authority Number: DAA-0081-2017-0003-0005</p>
4	<p>Publications. Disposition Authority Number: DAA-0081-2017-0003-0006</p>
5	<p>Minutes of the Commission</p>
5.1	<p>Minutes of the Commission maintained in paper (hard copies), microfilm, or microfiche. These Minutes range in date from 1917 to 2010. Disposition Authority Number: DAA-0081-2017-0003-0007</p>
5.2	<p>Minutes of the Commission maintained electronically in EDIS. These Minutes range in date from 2010 to present. Disposition Authority Number: DAA-0081-2017-0003-0008</p>
6	<p>Mediation Program Files</p>
6.1	<p>Case files Disposition Authority Number: DAA-0081-2017-0003-0009</p>
6.2	<p>Program Administration files. Disposition Authority Number: DAA-0081-2017-0003-0010</p>
7	<p>Physical exhibits Disposition Authority Number: DAA-0081-2017-0003-0011</p>
8	<p>Post-Trial Exhibits</p>
8.1	<p>Rejected exhibits</p>

8.2

Disposition Authority Number: DAA-0081-2017-0003-0012

Other exhibits

Disposition Authority Number: DAA-0081-2017-0003-0013

## Records Schedule Items

Sequence Number	
1	<p>Electronic Document Information System (EDIS) is an electronic information system that maintains the U.S. International Trade Commission's (USITC) official investigative case files in a centralized electronic document repository. EDIS is a client/Web server database application that was placed into production in 1995. EDIS allows registered users to submit documents electronically. The USITC uses the electronic record in EDIS as the record copy relating to an investigation conducted by the agency.</p> <p>Disposition Authority Number      <b>DAA-0081-2017-0003-0001</b></p> <p>EDIS Master Files: Record copy of reports, notices, transcripts, briefs, questionnaires, and other related documents that make up the contents of EDIS. Includes all of the documents associated with the following investigations: 1) Import Injury Proceedings - Antidumping and countervailing duty investigations and reviews under Title VII of the Tariff Act of 1930; safeguard and market disruption investigations under sections 204, 406, 421, and 422 of the Trade Act of 1974; investigations under section 302 of the NAFTA implementation Act of 1994; investigations under section 22 of the Agricultural Adjustment Act 2) Intellectual Property-Based Import Proceedings - Investigations and other proceedings under section 337 of the Tariff Act of 1930: 3) Industry and Economic Analysis Studies 4) Byrd Amendment documents 5) Rule-making documents 6) Other USITC Administrative documents filed in EDIS</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>No</b></p> <p>GRS or Superseded Authority Citation      <b>N1-081-03-1/ B1a1a, B1a2a, B2a1, B3a1a, B3a2a</b></p> <p>Disposition Instruction</p> <p>Cutoff Instruction                        <b>Cut off at the end of the calendar year in which the investigation is terminated.</b></p> <p>Retention Period                         <b>Destroy 75 year(s) after cutoff.</b></p> <p>Additional Information</p> <p>GAO Approval                              <b>Not Required</b></p>

2	<b>Violation of Protective Order</b> Files maintained by the Office of the Secretary on investigations of possible violations of Administrative Protective Orders and Commission rules. Arranged chronologically by the number of the investigation in connection with which the possible violation occurred. Records of Commission votes, published notices, internal memoranda, correspondence.
2.1	<b>Documents subject to expungement by Commission rule.</b> Disposition Authority Number <b>DAA-0081-2017-0003-0002</b>  Final Disposition <b>Temporary</b> Item Status <b>Active</b> Is this item media neutral? <b>Yes</b>  Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b>  GRS or Superseded Authority Citation <b>N1-081-97-1/ 1a</b>  <b>Disposition Instruction</b>  Retention Period <b>Destroy when the conditions for expungement are satisfied, or ten years after the investigation is closed, whichever occurs first.</b>  <b>Additional Information</b>  GAO Approval <b>Not Required</b>
2.2	<b>All other documents.</b> Disposition Authority Number <b>DAA-0081-2017-0003-0003</b>  Final Disposition <b>Temporary</b> Item Status <b>Active</b> Is this item media neutral? <b>Yes</b>  Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b>  GRS or Superseded Authority Citation <b>N1-081-97-1/ 1b</b>  <b>Disposition Instruction</b>  Cutoff Instruction <b>Cut off when investigation is closed.</b>

3	Retention Period	Destroy 10 year(s) after cut off
	Additional Information	
	GAO Approval	Not Required
	<b>Action Jackets</b>	
	Formal documents seeking the approval of each Commissioner for proposed agency actions: An action jacket includes a vote sheet recording the vote of each Commissioner; a summary of pre-decisional communications; a draft notice, order, letter, and/or other proposed action; and normally a memorandum or other supporting documents from staff office explaining a recommended action. Action jackets relate to all phases of the work of the Commission. Arranged chronologically and by investigation or other matter.	
	3.1 Action jackets relating to rulemaking.	
	Disposition Authority Number	DAA-0081-2017-0003-0004
	These action jackets obtain Commission approval for the publication of notices of proposed, final, and interim rule-making.	
	Final Disposition	Permanent
	Item Status	Active
Is this item media neutral?		Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?		No
GRS or Superseded Authority Citation	N1-081-03-1 / B4a	
<b>Disposition Instruction</b>		
Cutoff Instruction	Cut off at the end of the calendar year.	
Transfer to the National Archives for Accessioning	Transfer to the National Archives 20 year(s) after cut off	
<b>Additional Information</b>		
First year of records accumulation	1975	
What will be the date span of the initial transfer of records to the National Archives?	From 1975 To 1997	
How frequently will your agency transfer these records to the National Archives?	Every 12 Months	
	Estimated Current Volume	Annual Accumulation

Electronic/Digital	140 MB	40 MB
Paper	2 Cubic feet	.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

3.2

**Other action jackets.**

Disposition Authority Number **DAA-0081-2017-0003-0005**

Includes, but is not limited to: action jackets not relating to rule-making, administrative action jackets, non-investigative action jackets, and other action jackets created by various USITC offices and sent to the Office of the Secretary when completed.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **N1-081-03-1/ B4b**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the calendar year.**

Retention Period **Destroy 20 year(s) after cutoff.**

**Additional Information**

GAO Approval **Not Required**

4

**Publications.**

Disposition Authority Number **DAA-0081-2017-0003-0006**

Arranged by sequential publication number. One record copy of each publication produced by the Commission. Includes substantive reports on investigations and other proceedings and does not include routine administrative documents. Included are special studies reports, reports sent to Congress such as the Operation of the Trade Agreements Program (OTAP).

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **NC1-081-78-1/ B7**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cut off.**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1962 To 2002**

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	60 GB	1.5 GB
Paper	40 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

5

**Minutes of the Commission**  
Arranged chronologically. Formal summaries of official Commission meetings.

5.1

Minutes of the Commission maintained in paper (hard copies), microfilm, or microfiche. These Minutes range in date from 1917 to 2010.

Disposition Authority Number **DAA-0081-2017-0003-0007**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? No

Explanation of limitation This item only pertains to paper and microform.

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-081-78-1/ B10A  
NC1-081-78-1/ B10B

Disposition Instruction

Transfer to the National Archives for Accessioning Transfer to the National Archives when 40 years old.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 1917 To 1977

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	15 Cubic feet	
Microform	30 Linear feet of microfiche 10 Microfilm rolls	
Hardcopy or Analog Special Media		

5.2

Minutes of the Commission maintained electronically in EDIS. These Minutes range in date from 2010 to present.

Disposition Authority Number DAA-0081-2017-0003-0008

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic copies of the Minutes.

Do any of the records covered by this item currently exist in No

electronic format(s) other than e-mail and word processing?

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the calendar year.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 40 year(s) after cutoff.**

**Additional Information**

First year of records accumulation **2010**

What will be the date span of the initial transfer of records to the National Archives? **From 2010 To 2010**

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	30 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

6 **Mediation Program Files**  
Program and administrative records relating to the mediation program.

6.1 **Case files**

Disposition Authority Number **DAA-0081-2017-0003-0009**

Records documenting mediation and facilitation proceedings. Files may include the agreement to mediate or facilitate, non-disclosure agreements and Certification of Receipt and Reading/Discussion of Mediation Materials.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **No**

6.2

electronic format(s) other than e-mail and word processing?

**Disposition Instruction**

Cutoff Instruction

Cut-off when investigation is terminated.

Retention Period

Destroy when all litigation has concluded or upon the expiration of any outstanding order(s), whichever is longer.

**Additional Information**

GAO Approval

Not Required

**Program Administration files**

Disposition Authority Number

DAA-0081-2017-0003-0010

Records and background materials relating to program administration activities. Files may include program brochures, manual, mediator listings, and program evaluations.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

**Disposition Instruction**

Cutoff Instruction

Cut off at the end of the calendar year.

Retention Period

Delete/destroy no earlier than 2 years and no later than 5 years after cutoff.

**Additional Information**

GAO Approval

Not Required

7

**Physical exhibits**

Disposition Authority Number

DAA-0081-2017-0003-0011

Physical exhibits offered as evidence in an investigative matter under section 337 of the Tariff Act of 1930.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut-off when all litigation has concluded.
	Retention Period	Return to parties when all litigation has concluded and all outstanding order(s), if any, have expired or been rescinded. Destroy all unclaimed physical exhibits 90 days after notification.
	<b>Additional Information</b>	
	GAO Approval	Not Required
8	<b>Post-Trial Exhibits</b>	
	Exhibits in investigations under section 337 of the Tariff Act of 1930 that are not included in EDIS, other than physical exhibits.	
8.1	<b>Rejected exhibits</b>	
	Disposition Authority Number	DAA-0081-2017-0003-0012
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut-off when investigation is terminated.
	Retention Period	Destroy when all litigation has concluded.
	<b>Additional Information</b>	
	GAO Approval	Not Required
8.2	<b>Other exhibits</b>	
	Disposition Authority Number	DAA-0081-2017-0003-0013
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

Do any of the records covered  
by this item currently exist in  
electronic format(s) other than e-  
mail and word processing?

No

**Disposition Instruction**

Cutoff Instruction

Cut off at the end of the calendar year in which the  
investigation is terminated.

Retention Period

Destroy 75 year(s) after cutoff.

**Additional Information**

GAO Approval

Not Required

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
02/23/2017	Certify	Gino Ables	Agency Records Officer	OCIO - Data Management Division
06/08/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/14/2017	Submit For Certification	Gino Ables	Agency Records Officer	OCIO - Data Management Division
09/14/2017	Certify	Gino Ables	Agency Records Officer	OCIO - Data Management Division
09/27/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/03/2017	Submit For Certification	Gino Ables	Agency Records Officer	OCIO - Data Management Division
10/04/2017	Certify	Gino Ables	Agency Records Officer	OCIO - Data Management Division
01/16/2018	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/19/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/23/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist