

<b>Request for Records Disposition Authority</b> (See Instructions on reverse)		<b>Leave Blank (NARA Use Only)</b>	
To National Archives and Records Administration (NIR) Washington, DC 20408		Job Number 71-081-06-1	
1 From (Agency or establishment) <b>UNITED STATES INTERNATIONAL TRADE COMMISSION</b>		Date Received 5-1-2006	
2. Major Subdivision		<b>Notification to Agency</b> 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. Minor Subdivision			
4 Name of Person with whom to confer <b>DAVID E. SPENCER/Rcrds Ofcr</b>	5 Telephone (include area code) <b>202-205-2722</b>	Date 7/30/07	Archivist of the United States <i>[Signature]</i>

**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 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:

is not required       is attached       has been requested

Signature of Agency Representative <i>[Signature: Stephen Koplan]</i>	Title <b>STEPHEN KOPLAN, CHAIRMAN, USITC</b>	Date (mm/dd/yyyy) <b>3-27-06</b>
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7 Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
1.	REVISION OF NC1-81-78-1 (as revised by NC1-81-83-1, N- 81-89-1, and N1-81-97-1)  Deletion of the existing Section C., GENERAL COUNSEL, items 13-17; and adding a new Section C, GENERAL COUNSEL. <del>(attachment 1)</del>		
2.	Addition of a new Section <sup>G</sup> <del>N</del> ., INSPECTOR GENERAL. Recent changes to applicable statutes require each of the Inspectors' General to develop their own Records Disposal Schedule. <del>(attachment 2)</del>		

7/30/07  
*11 copies sent to Agency, NARA, NARA, NARA*

C. **Records of the Office of the General Counsel**

1. ***Litigation Case Files***

Copies of legal documents such as motions, briefs, court opinions and orders, and other records concerning suits brought against the Commission.

Disposition. TEMPORARY - Cut off files after case closes. Destroy 20 years after cut off.

2. ***General Counsel Memoranda***

Copies of all substantive opinions prepared by the General Counsel's office for the Commission concerning both administrative and program matters.

Disposition: TEMPORARY - Cut off files at the end of the calendar year. Destroy 75 years after cut off.

~~3. **Electronic copies** created on electronic mail and word processing systems for series covered under sections C/1 and C/2.~~

- ~~(a) Copies that have no further administrative value after the recordkeeping copy is made.~~

~~Destroy/delete after recordkeeping copy has been produced.~~

- ~~(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.~~

~~Destroy/delete when dissemination, revision, or updating is complete.~~

governed  
by GRS  
ZO, Item 13

## Request for Records Disposition Authority

### G. Office of Inspector General – (OIG)

#### Description of Records

#### Authorized Disposition

1. Investigative Files

a Investigative Files/  
Investigative Peer Review Files.

An investigative file is opened when the factual basis of a complaint or allegation is deemed to warrant a formal investigation. An investigative case may result in referral for criminal prosecution, civil adjudication, or administrative action. Investigative files constitute the written agency record of investigative cases, including investigative reports and such related documents as correspondence and attachments. Peer review files document the conduct of peer reviews either of investigation units in other IG offices by USITC-OIG, or of the USITC-OIG's Investigations Office by another OIG. The files are classified according to historical value:

~~(i) Investigative files with significant historical value, including cases that:~~

- ~~• May attract public interest and/or then substantial national or regional media attention;~~
- ~~• Result in a congressional investigation;~~
- ~~• May involve Commissioners;~~

**Permanent.** Cut off at end of fiscal year in which case is closed and revise case number to indicate permanent file with "(P)" at end. Retain in OIG for five (5) years, transfer to Records Storage Center (RSC). Transfer to NARA ten (10) years after cut off.

*Withdrawn*

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N.

Office of Inspector General – (OIG)

Description of Records

Authorized Disposition

1. Investigative Files

~~(i) Investigative files with significant historical value, including cases that: continued~~

- Result in substantive changes in ITC policies and procedures; or
- Result in a criminal conviction, civil remedy, or administrative action

*Withdrawn*

(ii) Investigative files without significant historical value.

**NOTE: FOR INVESTIGATIVE FILES THAT THE USITC OIG DETERMINES TO BE OF HISTORICAL SIGNIFICANCE, CONTACT THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION TO DETERMINE IF THE FILE SHOULD BECOME PERMANENT.**

**Temporary.** Cut off at end of fiscal year in which case is closed and revise case number to indicate temporary file with "(T)" at end. Retain in OIG for three (3) years, then transfer to Records Storage Center (RSC). Destroy eight (8) years after cut off.

Paper records may be destroyed after creation and verification of electronic record.

b. Original documents.

Documents produced in response to a subpoena, interview transcripts, and/or other evidence collected during the course of the investigation. These contain information essential to the cases and should be kept with the file.

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Office of Inspector General – (OIG)

Description of Records

Authorized Disposition

b. Original documents.

(i) Original documents with significant historical value, including documents that:

- May attract public interest and/or substantive national or regional media attention;
- Result in a congressional investigation;
- May involve Commissioners;
- Result in substantive changes in ITC policies and procedures; or
- Result in a criminal conviction, civil remedy, or administrative action.

(ii) Original documents without significant historical value.

**Permanent.** Cut off at end of fiscal year in which the corresponding case is closed and revise case number to indicate permanent file with “(P)” at end. Retain in OIG for five (5) years, then transfer to Records Storage Center (RSC). Transfer to NARA ten (10) years after cut off.

*NOTE: For original files that the USITC DETERMINES TO BE OF HISTORICAL SIGNIFICANCE, CONTACT THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION TO DETERMINE IF THE FILE SHOULD BECOME PERMANENT.*

**Temporary.** Cut off at end of fiscal year in which corresponding case is closed and revise case number to indicate temporary file with “(T)” at end. Retain in OIG for three (3) years, then transfer to Records Storage Center (RSC). Destroy eight (8) years after cut off.

c. Grand Jury Files (Federal Rules of Criminal Procedure 6(e)). Materials obtained by a jury under subpoena require special handling. These documents are segregated from the case file and kept under strict physical security while the case is open. Grand Jury materials sent to the RSC will be specially labeled and boxed to ensure against inadvertent release without court approval.

16

Office of Inspector General – (OIG)

Description of Records

Grand Jury Files (6e): continued

(i) Grand Jury Files with significant historical value, including files that:

- May attract public interest and/or substantial national or regional media attention;
- Result in a congressional investigation;
- May involve Commissioners;
- Result in substantive change in ITC policies and procedures, or
- Result in a criminal conviction, civil remedy, or administrative action.

(ii) Grand Jury Files without significant historical value.

Authorized Disposition

**Permanent.** Cut off at end of fiscal year in which case is closed and revise corresponding Grand Jury File number to indicate permanent file with "(P)" at end. Retain in segregated and locked location at OIG for five (5) years, then a person on the 6(e) list transfers to Records Storage Center (RSC). Transfer to NARA ten (10) years after cut off.

*NOTE: For Grand Jury files that USITC determines to be of historical significance, contact the National Archives and Records Administration to determine if the file should become permanent.*

**Temporary.** Cut off at end of fiscal year in which case is closed and revise corresponding Grand Jury File number to indicate temporary file with "(T)" at end. Retain in segregated and locked location at OIG for three (3) years, then a person on the 6(e) list transfers to Records Storage Center (RSC). Destroy eight (8) years after cut off.

*Withdrawn*



## Office of Inspector General – (OIG)

<u>Description of Records</u>	<u>Authorized Disposition</u>
<p>d. <u>Other Miscellaneous Files.</u> These contain information or allegations of an investigative nature that do not result in the creation of a formal investigative file. They include anonymous or vague allegations that are deemed not to warrant an investigation, matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in Inspector General investigations.</p>	<p><b>Temporary.</b> Cut off at end of fiscal year in which file is closed and revise file number to indicate temporary file with “(T)” at end. Retain in OIG for five (5) years, transfer to Records Storage Center (RSC). Destroy eight (8) years after cut off.</p> <p>Paper records may be Destroyed after creation and verification of electronic record.</p>
<p>e. <u>Working papers, drafts, notes, and background documents.</u> These contain information that previously has been included in the final record-keeping copy of an investigative case (i.e., extra copies), or is not necessary to understand the final disposition of an investigation.</p>	<p><b>Temporary.</b> Destroy at the time the investigative file is closed.</p> <p>Paper records may be destroyed after creation and verification of electronic record.</p>
<p>2. <u>Audit and Inspection Files</u></p> <p>These include files produced during audits, inspections, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues.</p>	
<p>a. <u>Final reports, audit resolution files, and other documents (exclusive of work papers) with significant historical value, including documents that:</u></p> <ul style="list-style-type: none"><li>▪ Attract substantial national or regional media attention;</li><li>▪ Result in a congressional investigation; or</li><li>▪ Result in substantive changes in ITC policies and procedures.</li></ul>	<p><b>Permanent.</b> Cut off at end of fiscal year in which file is closed and revise corresponding file number to indicate permanent file with “(P)” at end. Retain in OIG for five (5) years, then transfer to Records Storage Center (RSC). Transfer to NARA ten (10) years after cut off.</p>

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N.**

**Office of Inspector General – (OIG)**

**Description of Records**

- b Final reports, audit resolution files, and other documents without significant historical value, and all work papers.

**Authorized Disposition**

**Temporary.** Cut off at end of fiscal year in which file is closed and revise file number to indicate temporary file with “(T)” at end. Retain in OIG for five (5) years, then transfer to Records Storage Center RSC). Destroy eight (8) years after cut off.

Paper records may be destroyed after creation and verification of electronic record.

3. **Policy and Procedure Files**

These include all records that define or document the policies and procedures established for planning, directing, controlling, performing, and assessing OIG functions, including operations manuals, OIG policy bulletins, and standard operating procedures.

- a. Final policies and procedures.

**Permanent.** Cut off when superseded or obsolete and revise file name to indicate permanent file with “(P)” at end. Retain in OIG for five (5) years, then transfer to RSC. Transfer to NARA ten (10) years after cut off.



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**Office of Inspector General – (OIG)**

**Description of Records**

**Authorized Disposition**

3 **Policy and Procedure Files: continued**

*b Work papers and background materials.*

**Temporary.** Cut off at end of fiscal year in which file is closed and revise file number to indicate temporary file with “(T)” at end. Retain in OIG for five (5) years, then transfer to Records Storage Center (RSC) Destroy eight (8) years after cut off.

Paper records may be destroyed after creation and verification of electronic record

4. **AUTHORITATIVE AGENCY**  
**All Remaining Documents and Files**

This section covers all documents and files generated by OIG that are not addressed in the preceding sections.

*a. Semiannual reports, management challenges reports, strategic plans, performance plans, performance reports, and related correspondence with significant historical value, including documents that*

- Attract substantial national or regional media attention,
- Result in a congressional investigation; or
- Result in substantive changes in ITC policies and procedures.

**Permanent.** Cut off files at end of fiscal year in which file is closed and revise file name to indicate permanent file with “(P)” at end. Retain in OIG for five (5) years, then transfer to RSC Transfer to NARA ten (10) years after cut off.

AG

Office of Inspector General – (OIG)

Description of Records

Authorized Disposition

4 ~~Authoritative Agency~~  
All Remaining Documents and Files continued

*b Administrative documents, correspondence, and files not addressed in preceding sections*

**Temporary** Cut off at end of fiscal year in which file is closed and revise file number to indicate temporary file with "(T)" at end. Retain in OIG for five (5) years, then transfer to Records Storage Center (RSC). Destroy eight (8) years after cut off

Paper records may be destroyed after creation and verification of electronic record.