

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-122-96-3</i>	DATE RECEIVED <i>8/23/96</i>
1. FROM (Agency or establishment) Federal Trade Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Information and Technology Management		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Information Management Team			
4. NAME OF PERSON WITH WHOM TO CONFER John Paul Deley	5. TELEPHONE (202) 326-2085	DATE <i>2-4-03</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 2 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; or has been requested.

DATE <i>8/22/96</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>John Paul Deley</i>	TITLE Archivist/Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Consent Case Files</p> <p>Revision to NC1-122-79-1, Items 11.7 and 11.8</p> <p>(See Attached Sheets)</p> <p>All changes to this proposed schedule have been approved by:</p> <p>_____ NARA appraiser _____ date Agency representative</p> <p><i>PLEASE SEE date EMAIL CONCURRENCE OF FEBRUARY 15, 2001</i></p> <p><i>cc Agency, Nwmd, Nwmmw, Nwerc</i></p>		

1. **Consent Case Files**

Consent Case Files consist of materials collected and generated during the investigation that preceded the issuance of the order and materials collected and generated after issuance of the order. The Commission is primarily responsible for protection of the public through prevention and elimination of violations of rules and regulations in the first instance. Thus, consent agreements are used by the Commission to secure an effective and legally enforceable order to cease and desist, to divest, or for other corrective action without expending time and resources required to fully prepare and adjudicate a case. The Commission is also responsible for securing effective compliance with its order and determining the impact on the public after an order has been entered. All Consent Case files evolve from 7-digit investigations and that schedule should be consulted for additional clarification.

- A) **Category 1 (Non-Public):** In addition to the Category 1 materials related to the predecessor investigation, this series includes, but is not limited to: assignment sheets, analysis of economic impact, certifications, original circulation and miscellaneous circulation after the order, drafts of consent agreement, draft of FTC complaint, internal indexes and finding aids, MIS matter initiation notice, MIS matter updates, staff memoranda, staff minutes, staff recommendations, and internal FTC memoranda.

DISPOSITION: TRANSFER TO THE RECORDS PROCESSING BRANCH WHEN THE CASE CLOSES;
TRANSFER TO FRC 1 YEAR AFTER CASE CLOSES;
DESTROY 25 YEARS AFTER CASE CLOSES.

- (B) **Category II (Non-Public):** In addition to the Category II materials related to the predecessor investigation, this series includes, but is not limited to: access letters, audio tapes, correspondence circulated to respondents and other parties, copies of congressional correspondence, consultant contracts, contract scopes of work correspondence responding to petition to quash or limit subpoena, correspondence responding to petition for full commission review, depositions, draft general

memo, electronic litigation support, exhibits, intergovernmental and international correspondence, lists of reimbursable items, subpoenas, transcripts, travel forms, video tapes, witness lists, attorney's notes, news clippings related to the matter, complaints not relevant to the case, documents received under compulsory process, e-mail printouts not related to Category 1 documents, formal surveys, interview and interview reports, library research, petitions not relevant to the case, printouts of MIS matter profiles, questionnaires, STAR reports, case status reports, word processing records data and text.

DISPOSITION: TRANSFER TO THE RECORDS PROCESSING BRANCH WHEN THE CASE CLOSES;
TRANSFER TO FRC 1 YEAR AFTER CASE CLOSES;
DESTROY 5 YEARS AFTER CASE CLOSES.

- (C) **Public Documents:** All materials made part of the record of the proceeding and placed on the case's public record including, but not limited to: analysis to aid public comment, certifications, clearances, closing letter to respondent, comments on consent agreement, complaint, consent agreement, correspondence responding to petition to quash or limit subpoena, correspondence responding to full Commission review, Commission minutes of publicly recorded vote, decision of the FTC, externally submitted letters of comment after the order, Federal Register Notice, initial compliance report and additional compliance reports, miscellaneous orders after the decision, petition for full Commission review, petition to quash or limit subpoena.

DISPOSITION: DESTROY 5 YEARS AFTER CASE CLOSES OR WHEN NO LONGER NEEDED, WHICHEVER IS SOONER.

D) **Electronic Records (E-Mail and Word Processing)** Records created using electronic mail and word processing applications.

Disposition: - **TEMPORARY**- Destroy/delete within 180 days after the recordkeeping copy has been produced.