

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: **NC1-122-79-01**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Explanation / Description:

See attached table.

Date Reported: 05/01/2020

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

AUTHORITY	SUPERSEDED BY
NC1-122-79-1 item 1.1	N1-122-09-1, item 1.1a
NC1-122-79-1 item 1.2	N1-122-09-1, item 1.1a
NC1-122-79-1 item 1.3	Non-record
NC1-122-79-1 item 1.4	Non-record
NC1-122-79-1 item 1.5	Non-record
NC1-122-79-1 item 2.1	GRS 5.2, item 010 (DAA-GRS-2017-0003-0001)
NC1-122-79-1 item 2.2	N1-122-09-1, item 3.4.a
NC1-122-79-1 item 4.1A	Non-record
NC1-122-79-1 item 4.1B	Non-record
NC1-122-79-1 item 4.2A	N1-122-09-1, item 2.2b
NC1-122-79-1 item 4.2B	N1-122-09-1, item 2.2a
NC1-122-79-1 item 5.1	Presumed no longer created. When NARS-5 was decommissioned in 2008, no records were stored under this authority.
NC1-122-79-1 item 5.2	Presumed no longer created. When NARS-5 was decommissioned in 2008, no records were stored under this authority.
NC1-122-79-1 item 6.1A1	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.1A2a	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.1A2b	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.1A3a	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.1A3b	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.1B	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.2A	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.2B	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.3	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 6.4A1	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.4A2a	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.4A2b	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.4A3a	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.4A3b	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.4B	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.5A	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.5B	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.5C	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.6	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.7A	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.7B	N1-122-09-1, item 1.1b
NC1-122-79-1 item 6.8	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 7.1	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 7.2A	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 7.2B	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 9.1A	N1-122-09-1, item 3.4.a

AUTHORITY	SUPERSEDED BY
NC1-122-79-1 item 9.1B	Non-record
NC1-122-79-1 item 9.1C	Non-record
NC1-122-79-1 item 9.2	N1-122-09-1, item 3.4.a
NC1-122-79-1 item 10.1A	N1-122-09-1, item 2.2b
NC1-122-79-1 item 10.1B	N1-122-09-1, item 2.2a
NC1-122-79-1 item 11.1A1	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 11.1A2	Non-record
NC1-122-79-1 item 11.1A3	Non-record per N1-122-09-1, item 2.2
NC1-122-79-1 item 11.1B	N1-122-09-1, item 1.1a or 1.1b
NC1-122-79-1 item 11.2A	N1-122-09-1, item 3.4.a
NC1-122-79-1 item 11.2B	Obsolete
NC1-122-79-1 item 11.2C	Non-record per N1-122-09-1, item 2.2
NC1-122-79-1 item 11.3A	N1-122-09-1, item 3.4.a
NC1-122-79-1 item 11.3B	GRS 5.1, item 010 (DAA-GRS-2016-0016-0001)
NC1-122-79-1 item 11.4A1a	N1-122-96-1, all items of which were later superseded by N1-122-09-1, item 2.2b
NC1-122-79-1 item 11.4A1b	
NC1-122-79-1 item 11.4A1c	
NC1-122-79-1 item 11.4A1d	
NC1-122-79-1 item 11.4A2	
NC1-122-79-1 item 11.4B	
NC1-122-79-1 item 11.5A1	N1-122-96-4, all items of which were later superseded by N1-122-09-1, item 2.2a or 2.2b
NC1-122-79-1 item 11.5A2	
NC1-122-79-1 item 11.5B	
NC1-122-79-1 item 11.6A1	
NC1-122-79-1 item 11.6A2	
NC1-122-79-1 item 11.6B	
NC1-122-79-1 item 11.7A1	N1-122-96-3, all items of which were later superseded by N1-122-09-1, item 2.2a or 2.2b
NC1-122-79-1 item 11.7A2	
NC1-122-79-1 item 11.7B	
NC1-122-79-1 item 11.8A1	
NC1-122-79-1 item 11.8A2	
NC1-122-79-1 item 11.8B	
NC1-122-79-1 item 11.9A1	N1-122-09-1, item 2.2a
NC1-122-79-1 item 11.9A2	N1-122-09-1, item 2.2a
NC1-122-79-1 item 11.9B	Non-record
NC1-122-79-1 item 11.10A	N1-122-09-1, item 2.2b
NC1-122-79-1 item 11.10B	N1-122-09-1, item 2.2a
NC1-122-79-1 item 11.11A	N1-122-09-1, item 2.2b
NC1-122-79-1 item 11.11B	N1-122-09-1, item 2.2a
NC1-122-79-1 item 11.12A1	N1-122-09-1, item 2.2b
NC1-122-79-1 item 11.12A2	N1-122-09-1, item 2.2a

AUTHORITY	SUPERSEDED BY
NC1-122-79-1 item 11.12B	Non-record
NC1-122-79-1 item 11.13	N1-122-09-1, item 3.4.a
NC1-122-79-1 item 11.14A	N1-122-09-1, item 2.2b
NC1-122-79-1 item 11.14B	N1-122-09-1, item 2.2a
NC1-122-79-1 item 14.1A1	N1-122-09-1, item 1.1a
NC1-122-79-1 item 14.1A2	N1-122-09-1, item 1.1a
NC1-122-79-1 item 14.1B1	N1-122-09-1, item 1.1a
NC1-122-79-1 item 14.1B2	N1-122-09-1, item 1.1a
NC1-122-79-1 item 14.2	Non-record
NC1-122-79-1 item 14.3	Non-record
NC1-122-79-1 item 14.4	Superseded by NC1-122-81-1 item 5B
NC1-122-79-1 item 15.1	Non-record

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

Ref NCI 13 MAR 79

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

1. FROM (AGENCY OR ESTABLISHMENT)

Federal Trade Commission

2. MAJOR SUBDIVISION

Records Division

3. MINOR SUBDIVISION

Records Management Branch

4. NAME OF PERSON WITH WHOM TO CONFER

Gregory P. Mullen

5. TEL. EXT.

523-3380

LEAVE BLANK	
JOB NO.	<u>NCI-122-79-1</u>
DATE RECEIVED	<u>3 MAR 1979</u>
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.	
Date <u>9-10-79</u>	<u>James E. O'Neil</u> Acting Archivist of the United States

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 25 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	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
<u>3/6/79</u>	<u>Carol M. Thomas</u>	<u>Secretary</u>

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center">OFFICE OF THE SECRETARY</p> <p>The Office of the Secretary is the official custodian of papers and records generated during the activities of the Federal Trade Commission. It is divided into three Divisions: Records, Information, and Services.</p> <p>The Records Division is comprised of the Minutes, Document Processing, and Records Management Branches, and is responsible for preparation of the minutes of Commission meetings, the processing of legal and public records, and the maintenance and disposition of records.</p> <p>The Information Division, is divided into the Freedom of Information and Privacy Act Branch which deals with requests for access to records as mandated by the Freedom of Information and Privacy Acts, the Correspondence Branch which deals with correspondence processing, the Public Reference Branch where the staff and public may examine Commission Records, and the</p>		

115-107 6-27-79. All changes made approval of NCI-122-79-1 (Mullen, R.D.) sent to agency, NCI, NCW (J.E. 9-17-79) reply to NCI 13 MAR 79

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
FPMR (41 CFR) 101-11.4

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	<u>Records Common To All Offices</u> (cont.)		
1.3	<p>INDIVIDUAL WORKING PAPERS</p> <p>These files consist of documents which are used for reference or finding aids in completing reports, studies, etc. and are compiled and generally held in individual offices. Documents include such items as memoranda, weekly activity reports and branch procedures.</p> <p>Destroy when no longer needed for reference.</p>		
1.4	<p>INDICES, LOGS, JOURNALS AND REGISTERS</p> <p>Unless otherwise specified in this schedule, maintained and used for reference purposes or finding aids by the staff.</p> <p>Destroy when no longer needed for reference or when superseded or obsolete.</p>		
1.5	<p>NON-RECORD REFERENCE MATERIAL</p> <p>Copies (including microfilm) of material used for reference purposes only, i.e., publications, travel vouchers, Staff Bulletins, Notices to the Staff, minutes, etc.</p> <p>Destroy when no longer needed for reference.</p>		

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Sec. 2	<p><u>IMMEDIATE OFFICE OF THE SECRETARY</u></p> <p>Includes the Secretary, Deputy Secretary, Attorney Advisor and the administrative/management support staff.</p>		
2.1	<p><u>CIRCULATIONS</u></p> <p>Documents related to these matters to be considered by the Commission either on a walk-around basis or at the table. Includes such items as walk-arounds, agenda, non-agenda, adjudicative, special matters, and non-agenda adjudicative.</p> <p>Destroy 6 months after Commission action, or when no longer needed for reference.</p> <p><u>Operating Manual Coordinator Section</u></p>		
2.2	<p><u>OPERATING MANUAL FILES</u></p> <p>Manual contains permanent instructions and guidelines on the development of Commission cases. Includes chapters on industry guidance and the handling of confidential matters, etc.</p> <p>Record set of all Operating Manual releases.</p> <p>Annual accumulation--less than 1 cubic foot, arranged numerically.</p> <p>PERMANENT. Offer to NARS every 10 years releases which are at least 3 years old.</p>		

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Seci 3	<p><u>INFORMATION DIVISION</u></p> <p>The Information Division includes the Public Reference Branch, Inquiry and Search Branch, Freedom of Information and Privacy Act Branch, and the Correspondence Branch.</p> <p><u>Office of the Director</u></p> <p>All records in this office are covered in Section 1 of this schedule.</p>		
Sec. 4	<p><u>Public Reference Branch</u></p>		
4.1	<p><u>COPIES OF PUBLIC DOCUMENTS</u></p> <p>These documents are used for reference or finding aids to inform the general public about the Commission's operations.</p> <p>A. FOIA access requests, speeches and closing letters. (RECORD SET)</p> <p>XXXXCOMPILEXRECORDSEXXCOPIESXX</p> <p>Destroy 2 years after final Commission action.</p> <p>B. Other documents, including such items as consent agreements, witness statements, motions, orders, advisory opinions, petitions, news releases, etc. (COPIES: MICROFILM AND PAPER)</p> <p>XXXXPAPERANDMICROFILMCOPIESXX</p> <p>Review file annually; destroy when no longer needed for reference.</p>		

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ITEM NO.8. DESCRIPTION OF ITEM
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ACTION TAKENPublic Reference Branch (cont.)

4.2 HISTORY SHEETS

Case file indices used by the Commission staff and the public for reference or finding aids:

Docket History Sheets
Consent History Sheets
Rulemaking Proceedings History Sheets

A. These original history sheets contain information such as case numbers, respondents' names, brief description of documents in case files regarding the proceedings, service dates, etc.

B. PERMANENT. Offer history sheets related to permanent cases to NARS Destroy 25 years after final Commission action except for those history sheets corresponding to case files selected for permanent retention by NARS. These sheets will be offered to NARS with related case files. with appropriate case.)

Sec. 5 Inquiry and Search Branch

5.1 COMMISSIONERS' MONTHLY STATUS REPORTS

Monthly reports of the Commissioners' legal and economic activities. (Computer Printouts)

Transfer to WNRC when 5 years old.

Destroy when 15 years old.

5.2 WORKLOAD STATUS REPORTS

Monthly and quarterly reports summarizing planned vs. actual case workyear financial information by organization and by program.

Transfer to WNRC when 5 years old.

Destroy when 15 years old.

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Sec. 6	<p><u>FOIA and Privacy Act Branch</u></p> <p>(All records in this branch are included in the General Records Schedule No. 14, 3/30/77)i</p>		
6.1	<p>FREEDOM OF INFORMATION ACT (FOIA) REQUESTS FILES</p> <p>Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.</p> <p>A. Correspondence and supporting documents (<u>EXCLUDING</u> the official file copy of the records requested if filed herein)i</p> <p>1. Granting access to all the requested records.</p> <p>Destroy 2 years after date of reply.</p> <p>2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.</p> <p>a. Request <u>not</u> appealed.</p> <p>Destroy 2 years after date of reply.</p> <p>b. Request appealed.</p> <p>Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.</p> <p>3. Denying access to all or part of the records requested.</p> <p>a. Request not appealed.</p> <p>Destroy 5 years after date of reply.</p>		

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	<p><u>FOIA and Privacy Act Branch (cont.)</u></p> <p>b. Request appealed.</p> <p>Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.</p> <p>B. Official file copy of requested records.</p> <p>Dispose of in accordance with approved agency disposition instructions for the related records, or with the related FOIA request, whichever is later.</p>		
6.2	<p>FOIA CONTROL FILES</p> <p>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.</p> <p>A. Registers or listing.</p> <p>Destroy 5 years after date of last entry.</p> <p>B. Other files.</p> <p>Destroy 5 years after final action by the agency or after final adjudication by courts, whichever is later.</p>		
6.3	<p>FOIA ADMINISTRATIVE FILES</p> <p>Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence and related records.</p> <p>Destroy when 2 years old or sooner if no longer needed for administrative use.</p>		

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6.4	<p>FOIA and Privacy Act Branch (cont.i)</p> <p>PRIVACY ACT REQUEST FILES</p> <p>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.</p> <p>A. Correspondence and supporting documents (<u>EXCLUDING</u> the official file copy of the records requested if filed herein).</p> <p>1. Granting access to all the requested records.</p> <p>Destroy 2 years after date of reply.</p> <p>2. Responding to requests for non-existent records; to requestors who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.</p> <p>a. Requests <u>not</u> appealed.</p> <p>Destroy 2 years after date of reply.</p> <p>b. Requests appealed.</p> <p>Destroy as authorized under Item 6.5.</p> <p>3. Denying access to all or part of the records requested.</p> <p>a. Requests <u>not</u> appealed.</p> <p>Destroy 5 years after date of reply.</p> <p>b. Requests appealed.</p> <p>Destroy as authorized under Item 6.5.</p>		

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6.5	<p><u>FOIA and Privacy Act Branch (cont.)</u></p> <p>B. Official file copy of requested records.</p> <p>Dispose of in accordance with approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later.</p> <p>PRIVACY ACT AMENDMENT CASE FILES</p> <p>Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 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 under 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)i</p> <p>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.</p> <p>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.</p> <p>B. Requests to amend refused by agency. Includes individual's request 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 material.</p> <p>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.</p>		

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6.6	<u>FOIA and Privacy Act Branch (cont.)</u> 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. 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.		
	6.6 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. Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later.		
	6.7 PRIVACY ACT CONTROL FILES Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requestor. A. Registers or listings. Destroy 5 years after date of last entry. B. Other files. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.		

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6.8	<p><u>FOIA and Privacy Act Branch (conti)</u></p> <p>PRIVACY ACT GENERAL ADMINISTRATIVE FILES</p> <p>Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.</p> <p>Destroy when 2 years old or sooner if no longer needed for administrative usei</p>		
Sec. 7	<u>Correspondence Branch</u>		
7.1	<p>CORRESPONDENCE FILES</p> <p>Documents should include but are not limited to such items as letters of complaint and inquiry from the public, a copy of the response, supporting documents, and indices. Included in these files are Type B petitions--requests by the public for initiation of an investigationi</p> <p>Destroy 6 months after date of replyi</p>		
7.2	<p>CLASS I CORRESPONDENCE (Copies)</p> <p>A. Type A-1 Citizen's Petitions. Petitions relating to Rulemakingi</p> <p>Destroy 1 year from date of request.</p> <p>B. Requests for clearancei Requests of former FTC employees to participate in an investigation which was pending in the Commission while the employee served with the Commissioni</p> <p>Destroy 1 year from date of request.</p>		

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	<p><u>RECORDS DIVISION</u></p> <p>The Records Division includes the Minutes Branch, Document Processing Branch (Public and Non-Public Records) and the Records Management Branch.</p>		
Sec. 8	<p><u>Office of the Director</u></p> <p>All records in this office are covered in Section 1 of this schedule.</p>		
Sec. 9	<p><u>Minutes Branch</u></p>		
9.1	<p>OFFICIAL MINUTES OF THE FTC</p> <p>Bound manuscript ribbon copy of official minutes of meetings of the FTC since 1915. Official record of Commissioners' decisions related to program and other activities of the Commission.</p> <p>A. Bound record copy.</p> <p>Annual accumulation--1 cubic foot, arranged chronologically.</p> <p>PERMANENT. Offer to NARS 7 years ^{in 5-year blocks 10 years} after date of last meeting in volume.</p> <p>B. Truncated version of minutes distributed to FTC staff.</p> <p>Destroy when 1 year old.</p> <p>C. All other copies of minutes.</p> <p>Destroy when no longer needed for reference.</p>		
9.2	<p>INDEX TO OFFICIAL MINUTES OF THE FTC</p> <p>Original card file used as reference or finding aid to actions taken by the Commissioners from 1915 to present and recorded in official FTC minutes; arranged alphabetically, consisting of</p>		

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SAMPLE OR
JOB NO10.
ACTION TAKENMinutes Branch (cont.)

respondent name, case number (if any), action taken, dates, and other similar information.

Annual accumulation--less than 1 cubic foot; arranged alphabetically.

PERMANENT. Offer to NARS ~~when no longer needed for reference.~~ *copies of indices to cases with related records of Sec. 9.1.*

Sec. 10

Document Processing BranchPublic Records Section

All records in this office are covered in Section 1 of this schedule.

Document Filing Unit

All records in this office are covered in Section 1 of this schedule.

Non-Public Records Section

10.1

7-DIGIT HISTORY SHEETS

Case file indices used by the Commission staff for reference or finding aids. These sheets contain information such as case numbers, respondents' names, brief description of documents in case file regarding the proceedings, service dates, etc.

A. Original History Sheets.

- A. Destroy 25 years after final Commission action except for those history sheets corresponding to case files selected for permanent retention by NARS. These sheets will be offered to NARS with related case files.

- B. PERMANENT. Offer history sheets for permanent cases to NARS with the related case.

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Sec. 11	<u>Records Management Branch</u>		
11.1	<p>RECORDS FILES</p> <p>A. Records Disposition Files. (Included in GRS 16, Item #3, 3/30/77).</p> <p>Descriptive inventories, disposal authorizations, schedules and reports.</p> <ol style="list-style-type: none"> 1. Basic documentation of records description and disposition programs, including Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Transmittal and Receipt and related documentation. <p>Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.</p> <ol style="list-style-type: none"> 2. Extra copies and routine correspondence and memoranda. <p>Destroy when no longer needed for reference.</p> <ol style="list-style-type: none"> 3. Working papers and background material. <p>Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.</p> <p>B. Records Management Files. (Included in GRS 16, Item #11 3/30/77).</p> <p>Reports, correspondence, authorizations, techniques and related records concerning the development and improvement of the management of files, forms, correspondence, mail, reports, microfilm, automatic data processing, vital records, and and related records not covered elsewhere in this schedule.</p> <p>Destroy when 6 years old.</p>		

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11.2	<p><u>Records Management Branch (cont.)</u></p> <p>FORM FILES (Included in GRS 16, Item #4, 3/30/77)i</p> <p>A. One record copy of each form created for agency-wide use.</p> <p>Annual accumulation less than 1 cubic foot; arranged numerically.</p> <p>PERMANENT. Offer to NARS every ⁱⁿ 5 years blocks ^{when} 10 years old.</p> <p>B. One copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of form.</p> <p>Destroy 5 years after form is discontinued, superseded, or obsolete.</p> <p>C. Working papers, background materials, requisitions, specifications,i processing data, and control records.</p> <p>Destroy when related form is discontinued,i superseded, or cancelled.</p>		
11.3	<p>DIRECTIVES</p> <p>Issued within the agency to establish and implement policy or disseminate information. Issued by or for the Chairman, Executive Director, Secretary, Bureau or office heads of FTC units with supporting case files if any.</p> <p>A. Staff Bulletins. Staff Bulletins relate to administrative or procedural changes in Commission policy.</p> <p>Annual accumulation-less than 1 cubic foot; arranged numerically.</p> <p>PERMANENTr Offer to NARS every ⁱⁿ 10 years blocks ^{when} 10 years old.</p>		

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	Records Management Branch (cont.)		
	R. Notices to the Staff. These notices disseminate information to Commission staff.		
	Destroy when no longer needed for reference.		
11.4	7-DIGIT CASF FILE		
	A detailed inquiry (referred to as a formal investigation) into an alleged violation of law that the Commission is empowered to enforce that generally proceeds from a preliminary investigation. Documents include such items as memoranda, subpoena returns, correspondence, or transcripts		
	A. Original case file (non-public)		
	1. Closed without further action		
	History case file, including all internal material		
a.	Transfer to WNRC 3 years after close of case. Destroy those cases not considered "landmark" cases 25 years after close of case.		
	Criteria for determining "landmark" cases will be made on a case-by-case basis and will be broad enough to include all possible situations. The General Counsel should determine whether a particular case is an example of a significant extension of or restriction on the Commission's authority to regulate unfair methods of competition or unfair or deceptive acts or practices by innovative or untested methods, where the result has a substantial effect on the Commission's powers of regulation		
b.	PERMANENT. "Landmark Cases". Transfer to WNRC 3 years after close of case. Offer to NARS 25 years after close of case.		
	c. Non-history material		
	Transfer to WNRC 3 years after close of case, destroy when 5 years old.		
	d. Physical exhibits.		
	Destroy 5 years after close of case.		

115-203

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A

Revised July 1974

Prescribed by General Services Administration

FPMR (41 CFR) 101-11.4

114-118: Estimated amount 100%: 1200 cases

100%: 1200 cases

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	<p><u>Records Management Branch (cont.)</u></p> <p>2. Closed pending further action (e.g., recommendation for issuance of complaint, Part II or Part III of the Commissioners' Rules of Practice)</p> <p>History case file, including all internal material.</p> <p>Retain original case file for subsequent action to be incorporated into Docket or Consent case file.</p> <p>B. All remaining files, including correspondence, interviews, exhibits, etc. and documentary exhibits, if any.</p> <p>Transfer to WNRC 3 years after close of case. Destroy 5 years after close of case.</p>		
11.5	<p>DOCKET CASE FILE (PUBLIC)</p> <p>These files consist of documents generated after the issuance of a complaint which are crucial to litigation and compliance. Documents include such items as pleadings, orders, subpoena returns, motions, transcripts and documentary exhibits.</p> <p>Complete record set.</p> <p>A. Closed without further action.</p> <p>1. Transfer to WNRC 5 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4.</p> <p>2. PERMANENT. Transfer to WNRC 5 years after final Commission action. B. Physical exhibits. Offer to NARS 25 years after final Commission action. Destroy 5 years after final Commission action.</p>		

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11.6	<p><u>Records Management Branch (cont.)</u></p> <p>DOCKET CASE FILES (NON-PUBLIC)</p> <p>These files consists of material relating to proceedings during the formal investigational stage (7-digit) of a case which has resulted in the issuance of a complaint (Part III of the Commission's Rules of Practice). They consist of the history, correspondence, interviews and exhibits files. Documents include such items as inter-office material, transcripts, interview reports, documentary exhibits, subpoena returns and confidential material as well as in-camera pleadings, orders and motions.</p> <p>Original case file.</p> <p>A. Closed; final order issued.</p> <p>1. Transfer to WNRC 5 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>2. PERMANENT. See 11.5-A-2.</p> <p>B. Physical exhibits.</p> <p>Destroy 5 years after final Commission action.</p>		
11.7	<p>CONSENT CASE FILES (PUBLIC)</p> <p>These files consist of documents generated after issuance of a complaint which are crucial to the case in order to substantiate the consent order. Documents include such items as pleadings, motions, orders and compliance reports.</p> <p>Complete record set.</p> <p>A. Closed without further action.</p> <p>1. Transfer to WNRC 5 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>2. PERMANENT. See 11.5-A-2.</p>		

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11.8	<p><u>Records Management Branch (cont.)</u></p> <p>B. Physical exhibits.</p> <p>Destroy 5 years after final Commission action.</p> <p>CONSENT CASE FILES (NON-PUBLIC)</p> <p>These files consist of materials relating to the proceedings of a formal investigation which has resulted in the issuance of a complaint and order (Part II of the Commissioners' Rules of Practice) and which has been settled by consent negotiations or by joint agreement. Documents include such items as inter-office material, interview reports, documentary exhibits, subpoena returns, in-camera and other confidential material.</p> <p>Original case file.</p> <p>A. Closed without further action.</p> <p>1. Transfer to WNRC 5 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>2. PERMANENT. See 11.5-A-2.</p> <p>B. Physical exhibits.</p> <p>Destroy 5 years after final Commission action.</p>		
11.9	<p>RULEMAKING PROCEEDINGS CASE FILE</p> <p>Public documentation of the preparation, review and clearance of all rulemaking proceedings, e.g., 203 - Quality Limit Rule, 204 - Wool & Fur Products Labelings, 205 - Flammable Fabrics, 206 - Textile Fiber Product, 207 - Fair Packaging & Labeling, 208 - Fair Credit Reporting, 209 - Miscellaneous Public Record, 215 - Trade Regulation Rule, 216 - Public Hearings, 217 - Trade Practice Conference, and 218 - Guides, 219 - Proposed Recessions, 222 - Rules of Practice, and 223 - Mergers. These files include such items as public comments, transcripts of hearings, notices, memoranda or documentary exhibits and physical exhibits. (Non-public portions of rulemaking proceedings are included in general files.)</p>		

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	<p><u>Réconds Management Branch (cont.)</u></p> <p>A. Complete case file, including documentary exhibits.</p> <p>1. Transfer to WNRC 3 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>2. PERMANENT. See 11.4-A-1-b. B. Physical exhibits.</p> <p>Destroy 5 years after final Commission action.</p>		
11.10	<p>AD SUBSTANTIATION</p> <p>The Commission is responsible for assuring the existence of a reasonable basis for advertising claims. This program requires advertisers, upon FTC demand, to file a special report and to submit all tests, studies or other data existing prior to dissemination of the ad purporting to substantiate any claims, statements or representations regarding the safety, performance, efficiency or comparative price of the product advertised.</p> <p>Record file and any indices.</p> <p>A. Transfer to WNRC 5 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>B. PERMANENT. See 11.5-A-2.</p>		
11.11	<p>ADVISORY OPINION FILES</p> <p>These files are compiled from the proceedings of formal investigations consisting of discretionary responses by the Commission on opinions developed on various legal problems and are assigned 7-digit numbers.</p> <p>Original file consisting of history, correspondence, etc.</p>		

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	Records Management Branch (cont.)		
11.12	<p>A. Transfer to WNRC 2 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>B. PERMANENTi Transfer to WNRC 2 years after final Commission action. ASSURANCE OF VOLUNTARY COMPLIANCE FILES Offer to NARS 25 years after final Commission action.</p> <p>These files consist of documents submitted by respondents indicating their willingness to comply with a Commission directive regarding an unlawful business practice. Documents include such items as memoranda, minutes, correspondence and corrective sales advertisementsi</p> <p>A. Original file consisting of historyi correspondence, etc.</p> <p>1. Transfer to WNRC 2 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>2. PERMANENTi See 11.11-3. B. Physical exhibits.</p> <p>Destroy 5 years after final Commission action.</p>		
11.13	<p>OFFICIAL FTC GENERAL FILES</p> <p>Miscellaneous non-public series maintained as a record for documents which do not have a specific case-related designation. Documents include such items as general correspondence, correspondence with Congress, other government agencies, and FTC Regional Offices. Also included are resolutions, Rules of Practice, procedures, Trade Regulation Rule procedures, and general policy and procedures. The file is arranged by subject in chronological order by fiscal year.</p> <p>Record set.</p> <p>Annual accumulation--3 cubic feet; arranged numerically by date.</p> <p>PERMANENT. Transfer to WNRC when 3 years oldi When 10 years old, offer to NARS.</p>		

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11.14n	<p><u>Records Management Branch (cont.)</u></p> <p>COURT CASE FILES</p> <p>Proceedings from a formal investigation, or miscellaneous case which has resulted in judicial action.</p> <p>99 Series Case Files</p> <p>These files are miscellaneous court actions derived from EEO complaints, formal investigations (7-digits), class action suits or unclassifiable court documents. Documents include such items as subpoena enforcements, summons complaints, pleadings, history and/or correspondence files.</p> <p>Original case file, closed without further action.</p> <p>A. Transfer to WNRC 3 years after final Commission action. Destroy 25 years after final Commission action, except for those cases determined to be "landmark" cases. See criteria item 11.4 of this schedule.</p> <p>B. PERMANENT. See 11.4-A-1-b.</p>		

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	<p><u>SERVICES DIVISION</u></p> <p>The Services Division includes the Micrographics Branch, Rules and Publications Branch and Distribution and Duplication Branch.</p>		
Sec. 12	<p><u>Office of the Director</u></p> <p>All records in this office all covered in Section 1 of this schedule.</p>		
Sec. 13	<p><u>Micrographics Branch</u></p> <p>All records in this section are covered in Section 1 of this schedule.</p>		
Sec. 14	<p><u>Rules and Publications Branch</u></p>		
14.1	<p><u>RULES AND PUBLICATIONS FILES</u></p> <p>Publications printed by the Government Printing Office or within the Commission.</p> <p>A. Manuscripts, camera ready copy, page proofs, working papers, machine readable tape and similar material.</p> <p>1. Used in preparation of FTC Rules of Practice, Statutes, Court Decisions, Volumes of Decisions, annual reports, various studies, reports, etc.</p> <p>Destroy 1 year after publication.</p> <p>2. Used in preparation of information prepared for consumers (pamphlets, guides, etc)</p> <p>Review file annually; destroy when publication is obsolete.</p> <p>B. FTC material published in the Federal Register.</p> <p>1. Background material, invoices and orders.</p> <p>Destroy 1 year after publication.</p>		

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	<u>Rules and Publications Branch (cont.)</u> 2. Tear Sheets. Destroy 5 years after publication.		
14.2	FEDERAL REGISTER Complete copy of entire Federal Register. Destroy when 1 year old.		
14.3	NATIONAL TECHNICAL INFORMATION SERVICES ACCESSION INDEX 3 X 5 file cards recording accession numbers of FTC material available through NTIS. Destroy when no longer needed for reference.		
14.4	PUBLICATIONS Publications include material that is printed by the Government Printing Office or within the Commission. Publications consist of such items as FTC Rules of Practice, Volumes of Decisions, annual reports, and indices thereto. Complete record set--original or master file copies. Annual accumulation--one cubic foot; arranged chronologically. PERMANENT. Transfer to WNRC when 5 years old. Offer to NARS when 20 years old.		
Sec. 15	<u>Distribution and Duplication Branch</u>		
15.1	FTC PUBLICATIONS Stock of brochures and pamphlets prepared by FTC staff. Used to fill requests from the public. Review stock of publications annually; destroy when obsolete or when no longer needed.		