

UNITED STATES DEPARTMENT OF COMMERCE
INTERNATIONAL TRADE ADMINISTRATION
Industry and Trade Administration

RECORDS CONTROL SCHEDULE

INDEX TO ITA RECORDS CONTROL SCHEDULES

A Records Control Schedule must be approved by the Archivist of the United States in order to be legally mandatory. Until a revised Schedule for individual program units is approved and issued, the March 1978 schedule (NC1-151-77-1) or August 1988 General Records Schedule should be utilized.

INTERNATIONAL TRADE ADMINISTRATION

RECORDS CONTROL SCHEDULE

SECTION I

GENERAL ADMINISTRATION: ITA RECORDS COMMON TO ALL OFFICES

ISSUED SEPTEMBER 1982

UNITED STATES DEPARTMENT OF COMMERCE
International Trade Administration
Washington, DC 20230

SEP 2, 1982

MEMORANDUM FOR: Operating and Staff Officials
(Washington, D.C., District Offices
and Overseas Posts)

SUBJECT: ITA Records Control Schedule/General Administration:
ITA Records Common to All Offices

A number of general and housekeeping records were repeated in each portion of the ITA Records Control Schedule issued in March 1978. These records have now been combined into one General Administration Schedule, which is attached. A cross-over check list is also provided with this new Schedule to aid you in determining what items have been deleted from the March 1978 Schedule and included in the new one. The provisions of this schedule are legally mandatory. For ITA to achieve an efficient and economical records disposition program, each individual in your area should review this schedule and be familiar with disposition instructions.

As you can see by the attached index, each organizational element in ITA will eventually have its own individual schedule (excluding General Administration records). Until that time, each element (except the FCS overseas) which does not have an approved, revised schedule will follow the disposition instructions set forth in the March 1978 ITA Records Control Schedule. All overseas posts will follow the procedures set forth in the August 24, 1982, memorandum (subject: Records Management--Disposition of Records at FCS overseas Posts) until such time as the U.S. and Foreign Commercial Services Schedule is approved.

Insert the General Administration Schedule in the yellow binder previously provided to each Division and Office Director for housing the section of the March 1978 ITA Records Control Schedule relating specifically to his or her area.

Any questions should be directed to Charles Brett or me on 377-3031 or forwarded to Room 4102.

Patricia L. Mann
Records Management Officer
International Trade Administration

3 Attachments

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REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NCI-151-82-5	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received June 29, 1982	
1. FROM (Agency or establishment) U.S. Department of Commerce		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION International Trade Administration		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be stamped "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Charles Brett	5. TELEPHONE NUMBER 377-3430	DATE 7-13-82	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 disposition of its records and that the records proposed for disposal on the attached <u>8*</u> page(s) are not needed now for the business for 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, <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 6-18-82	SIGNATURE OF AGENCY REPRESENTATIVE		TITLE Departmental Records Management Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	GENERAL ADMINISTRATION: ITA RECORDS COMMON TO ALL OFFICES The records described in the following items were found in many or all of the components of the International Trade Administration. They are listed here with the indicated retention periods deemed sufficient to meet all legal, administrative, and fiscal requirements. Where these records are described elsewhere under individual organizational components, the longer retention period will prevail. 1. <u>Administrative Subject File</u> --documents relating to management operations that are of a housekeeping or general administrative nature. Records deal with such matters as budget; office space; directives; requisitions (Forms CD-10, CD-45, etc.) for printing, equipment, furniture or services; meeting arrangements; security (general); time and attendance (Form CD-238); travel requests and authorizations; and similar activities. Generally, these are arranged alphabetically by subject. T&A FILES MUST BE MAINTAINED FOR 6 YEARS (Per NARA December 1998)		

- a. Announcements, ITA Administrative Instructions and Organization and Function Orders, Department Administrative and Organization Orders, and the like maintained solely for reference purposes--destroy when superseded or obsolete.
- b. All other papers--destroy when 2 years old.

2. Press Releases, Statements, Speeches, and Testimonies-- information copies of the items specified in the title except those specifically listed under an appropriate organizational component in the ITA Records Control Schedule. They are used as precedents and for general reference purposes. Record copies of these are maintained in the Office of Public Affairs, Office of the Secretary, for as long as necessary.

Destroy when 2 years old.

3. Chronological, Reading, Tickler or Suspense Files --extra copies of correspondence maintained for convenience of reference, or to indicate a due date for an action. In some cases, these copies are removed from such files and used for cross-reference and other purposes in subject files. This, of course, liquidates the extra copy file. Filed in chronological sequence.

Destroy when no longer needed for current business or when 1 year old, whichever is sooner.

4. Reproducibles File --includes manuscripts (camera copy), papers, photographic, and various other types of plates or media used to reproduce multiple copies of documents for distribution. Filed by subject or number, as appropriate.

Destroy when no longer needed for current business or 1 year after completion of job, whichever is sooner.

5. Charity Campaign and Bond Drive File --papers pertaining to the annual Combined Federal and U.S. Savings Bond Campaigns. Arranged chronologically.

Destroy when 1 year old.

6. Job Applications --copies of applications (SF-171) and related papers submitted by persons seeking employment in the organization. Excluded from this description are records relating to appointments requiring Senatorial confirmation.

- a. Successful Applicant--Forward application to the Office of Personnel, ITA.
- b. Unsuccessful Applicant—Return application to sender or destroy upon rejection, whichever is suitable.

7. Classified Information Accounting and Control Record --comprised of the following elements:

accounting for classified documents, but EXCLUDING manuals, directives, plans, reports and correspondence reflecting the development of policies and procedures in the administration and direction of security and protective service programs.

- b. Classified Document Receipts (Form CD-76 or equivalent) relating to the receipt and issuance of classified documents.
- c. Destruction Certificates relating to the destruction of classified documents.
- d. Classified Document inventory (Form CD-297 or equivalent) consisting of forms, ledgers or registers used to show the identity, internal routing, and final disposition made of classified documents, exclusive of Top Secret material.

Items a. through d. - Destroy when 2 years old.

8. Top Secret Accounting and Control Files --

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch or destruction of the documents.

Destroy 5 years after documents or forms are downgraded, transferred or destroyed.

- b. Forms accompanying documents to insure continuing control, showing names of persons handling the documents intra-office routing, and comparable data.

Destroy when the related document is downgraded, transferred or destroyed.

9. Classified Document Container Security Files--forms or lists used to record safe or padlock combinations, the names of individuals knowing combinations, and comparable data used to control access to classified document containers.

Destroy when superseded by a new form or list, or upon turn-in of containers.

10. Indexes or Check Lists--bibliographies, check lists and indexes of agency publications, releases, case files, and the like, excluding those cited elsewhere in the ITA Records Control Schedule under the appropriate organization.

Destroy when superseded or obsolete.

11. Personnel Statistical Reports--machine-produced reports showing ITA employment by name, grade, job classification, organizational unit' and other categories. Produced periodically, e.g., quarterly, or on an as-needed basis. The record copy is maintained by ITA's Office of Personnel.

Destroy when superseded or obsolete.

12. Personnel Folders Maintained Outside of the Office of Personnel, ITA --correspondence, memoranda, forms and other records relating to positions, authorizations, pending actions, copies of position descriptions; requests for personnel actions; and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

Review annually and destroy superseded or obsolete documents or destroy all documents relating to an individual employee 1 year after separation or transfer.

13. Information Requests File--requests for information and copies of replies thereto. These involve no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittal of publications, photographs and other informational literature.

Destroy 3 months after transmittal or reply.

14. Acknowledgment Files--acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

Destroy 3 months after acknowledgment and referral.

15. Mailing Lists--correspondence, request forms, and related records pertaining to the establishment and/or revision of mailing lists. Also included here is a copy of the list.

a. Documents initiating revisions--Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

b. Mailing list--Destroy when superseded or obsolete.

16. Records/Logs of Mail, Visitors or Telephone Calls--daily records of mail, visitors or telephone calls handled.

a. Mail and Telephone Logs/Records: Destroy when 1 year old.

b. Visitor Logs/Records: Destroy when 2 years old.

~~17. Technical Information Files--working papers, drafts and extra copies of documents, and printed and processed material maintained by individual employees throughout ITA. These are of reference value only and provide individuals with background information in establishing their assigned duties. Whenever working documents or....~~

~~issue or case of significant import, such documents should be made part of the official file. Otherwise, the types of papers noted here have immediate relevance and value only to the individual accumulating them and provide no insights into the official activities, functions, policies, and procedures of the organizational unit where they are maintained. File is generally arranged by subject.~~

~~Destroy when no longer needed for current business or when 10 years old, whichever is sooner.
SEE General Administration (Supplement) NI-489-04-1, Item 1.~~

18. Congressional Correspondence File--correspondence between ITA offices and members of Congress. The correspondence is generally in response to requests for information on ITA policies and programs of specific interest to the inquirer or his constituents. Copies of all Congressional correspondence are maintained in the Office of Congressional Affairs, Office of the Secretary, for a period sufficient to meet all administrative, legal, and historical needs. File is maintained by name of addressee.

Destroy when 2 years old.

19. Freedom of Information Act (FOIA) Requests 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.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under item 20.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under item 20.

(c) Official file copy of requested records.

Dispose of in accordance with approved ITA Records Control Schedule instructions for the related records or with the related request, whichever is later.

20. FOIA Appeals Files--created in responding to administrative appeals for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, any related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING official file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.

- b. Official File copy of records under appeal.

Dispose of in accordance with approved ITA Records Control Schedule instructions for the related record or with the related FOIA requests, whichever is later.

21. Privacy Act Requests 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.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein.)

- (1) Granting access to all the requested records.

Destroy 2 years after date of reply.

- (2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

- (a) Requests not appealed.

Destroy 2 years after date of reply.

- (b) Requests appealed.

Destroy as authorized under item 22.

- (3) Denying access to all or part of the records requested.

- (a) Requests not appealed.

Destroy 5 years after date of reply.

- (b) Requests appealed.

Destroy as authorized under item 22.

- (b) Official file copy of requested records.

Dispose of in accordance with ITA Records Control Schedule instructions for the related records or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case 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 for 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).

- 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.

Dispose of in accordance with the approved ITA Records Control Schedule instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

- b. Requests to amend refused by agency. Includes individual's requests 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 materials.

Dispose of in accordance with the approved ITA Records Control Schedule 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.

- 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 ITA Records Control Schedule instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

- 23. Privacy Act Accounting of Disclosure 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 ITA Records Control Schedule instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

- 24. Career Development and Training Work Files--papers generated or collected to keep informed of and participate in all career development programs and training opportunities offered by the Department or by inter-agency bodies or by other agencies.

These are workpapers of short term value since the substantive results are documented in the Official Personnel Folders of employees affected.

Destroy individual documents or contents of file folders when they have served their purpose.

U.S. Department of Commerce
International Trade Administration
General Administration:
ITA Records Common to All Offices

Cross Over

Former Schedule

Revised Schedule

NCI-151-77-1

NCI-151-82-5

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REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-489-95-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 10/29/93	
1. FROM (Agency or establishment) Department of Commerce		NOTIFICATION TO AGENCY	
4. MAJOR SUBDIVISION International Trade Administration		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.	
5. MINOR SUBDIVISION Office of the Under Secretary			
4. NAME OF PERSON WITH WHOM TO CONFER Glenitta Chase	7. TELEPHONE NUMBER 202-482-3756	DATE 12-13-94	ARCHIVIST OF THE UNITED STATES
8. 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 <u>4</u> page(s) are not needed now 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, <input type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/19/93	SIGNATURE OF AGENCY REPRESENTATIVE		TITLE Records Management Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p style="text-align: center;">U.S. Department of Commerce International Trade Administration Immediate Office of the Under Secretary</p> <p>The International Trade Administration (ITA) was established in 1980. However, predecessor agencies to ITA have existed throughout most of the Department's history. ITA is responsible for non-agricultural trade operations of the U.S. Government; supports the trade policy and negotiation efforts of the United States Trade Representative; and administers import trade laws including antidumping and countervailing duty laws.</p> <p><u>Mission</u></p> <ul style="list-style-type: none"> ▪ Increase America's competitiveness in the world economy. ▪ Establish trade expansion as a major national priority. ▪ Open foreign markets by removing barriers to trade and investment. ▪ Increase the number of small and medium-sized exporters. 		

- Provide accurate and timely information and services to U.S. exporters.
- Advance U.S. sector interests in international trade.
- Safeguard the national interest through effective administration of U.S. trade laws.
- Take prompt, aggressive action against unfair trade practices.

ITA is headed by the Under Secretary for International Trade who is principal advisor to the Secretary on matters affecting international trade and represents the Secretary on interagency committees concerning international trade and economic issues. The Under Secretary oversees the operations of four principal operating units, each headed by an Assistant Secretary:

- International Economic Policy
- U.S. and Foreign Commercial Service
- Trade Development
- Import Administration

For the purpose of records management, this schedule describes records created and located in the immediate Office of the Under Secretary and replaces NCI-151-77-1 (Assistant Secretary for Domestic and International Business Administration (DIBA), items 1-8). This schedule provides continued authority to retire, transfer and dispose of papers in accordance with the retention period.

1. General Subject Files

1a. Chronological Correspondence Files - Official correspondence between the Under Secretary, members of the private sector, and other government agencies. This correspondence is handled by the Under Secretary personally or prepared for his/her signature by other offices. Issues raised by this correspondence are addressed quickly and do not pertain to long term projects or issues, or require extensive negotiation. Arranged chronologically.

Permanent. Cutoff at the end of 2 CYs and retire the WNRC 3 years after cutoff. Transfer to the National Archives 20 years after cutoff.

1b. Country and Subject Files - These files consist primarily of correspondence between the Under Secretary, the private sector, and other government agencies. Also included are publications, reports, memorandums, cables, negotiation instructions, briefing materials used in preparation for meetings between the U.S. and foreign officials, and related records. Topics addressed by these files include foreign economic policy and the promotion of U.S.

trade interest; labor/management relations; tariffs; industries and commodities; science and technology; and legislation of interest to the ITA. These files also include reports, membership lists, minutes, agendas, and proposals pertaining to committees the Under Secretary is involved with or interested in. Arranged alphabetically by the name of the country or by subject.

Permanent. Cutoff at the end of 2 CYs and retire to the WNRC 3 years after cutoff. Transfer to the National Archives 20 years after cutoff.

2. Briefing Books – Briefing books prepared by subordinate offices for the Under Secretary in preparation for important meetings. Contains schedules, agendas, topics of discussions, issue and talking points, biographies, information and background on countries visited. Arranged chronologically.

Permanent. Cutoff at the end of each CY and retire to the WNRC 3 years after cutoff. Transfer the National Archives 20 years after cutoff.

3. Speech File - Speeches made by the Under Secretary and related background materials. Arranged chronologically.

Permanent. Cutoff at the end of each CY and retire to the WNRC 3 years after cutoff. Transfer to the National Archives 20 years after cutoff.

4. Invitations - Routine invitations to attend, participate, and/or speak at meetings, conferences, seminars, and similar events.

4a. Accepted invitations.

1) Invitations accepted by the Under Secretary: **Destroy when 3 years old.**

2) All others: **Destroy when 1 year old.**

4b. Rejected invitations.

1) Invitations rejected by the Under Secretary: **Destroy when 1 year old.**

2) All other rejected invitations. **Destroy when no longer needed for current agency business.**

5. Appointment Books and Daily Schedule of Meetings - Appointment book for the Under Secretary. Arranged chronologically.

Permanent. Cutoff at the end of two CYs and retire to the WNRC 3 years after cutoff. Transfer to the National Archives 20 years after cutoff. Records not containing any substantive information may be destroyed during processing without further notice to the ITA.

6. Travel File - Copies of travel vouchers and orders, itineraries, and other documentation relating to trips by the Under Secretary.

Destroy when 2 years old or when no longer needed for current agency business.