

UNITED STATES DEPARTMENT OF COMMERCE
International Trade Administration
Washington, D.C. 20230

AUG 13 1984

MEMORANDUM FOR Deputy Assistant Secretary
Staff, Office and Division Directors
Import Administration

SUBJECT: Revised ITA Records Control Schedule/
Import Administration

The attached revision - Section V. Import Administration - supersedes the March 1978 edition of the ITA Records Control Schedule and the U.S. Customs Service Records Control Manual that formerly prescribed the disposition of your files.

Discard all copies of the Schedule and Manual cited above. Insert the attachment in the binder previously provided you for maintaining the ITA Schedule.

In completing Standard Form 135: Records Transmittal and Receipt to retire records to storage, you must now cite Schedule Number NC1-151-81-2 and the proper item number in the Schedule describing the files being retired. Place these references in column 6h, "Disposal Authority," of the SF-135. Refer to Appendix B of ITA Administrative Instruction 6-9, Records Management, issued on March 26, 1984, for instructions on completing the SF-135.

Please note that the provisions of the Schedule are legally mandatory. Everyone in your organization should be familiar with and apply its disposition instructions.

Use the attached Schedule together with Section 1. General Administration: ITA Records Common to All Offices. That section provides for the disposition of your housekeeping records, while section V deals primarily with your program records.

Attachment

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U.S. DEPARTMENT OF COMMERCE
INTERNATIONAL TRADE ADMINISTRATION
IMPORT ADMINISTRATION
RECORDS CONTROL SCHEDULE

Job No NI-151-81-2

Issuance Date: July 20, 1984

DEPUTY ASSISTANT SECRETARY FOR IMPORT ADMINISTRATION

The Tariff Act of 1930, as amended by the Trade Agreement Act of 1979, in accordance with Reorganization Plan No. 3 of 1979, assigned certain duties to the Assistant Secretary for Trade Administration, Department of Commerce. Portions of these duties are redelegated to the Deputy Assistant Secretary for Import Administration with respect to antidumping and countervailing duties (AD/CVD).

The Deputy Assistant Secretary (DAS) is responsible for coordinating the formulation and implementation of U.S. antidumping and countervailing duty policies and programs; and for administering Departmental programs relating to foreign trade zones, allocation of watch quotas, duty-free entry of scientific instruments, and importation of foreign excess property. The immediate office of the DAS includes the Foreign Trade Zones Staff and the Statutory Import Programs Staff. In addition, the DAS directs the following offices:

- Office of Investigations
- Office of Compliance
- Office of Policy

Office of the Deputy Assistant Secretary (DAS)

In the areas of antidumping and countervailing duties (AD/CVD) some of the responsibilities assigned to the DAS are: 1) to coordinate the formulation and implementation of AD/CVD policies and programs, ensuring that actions taken are consistent with overall U.S. trade policy; 2) to ensure the proper administration of AD/CVD laws including the expeditious conduct of investigations, the administration of AD/CVD orders, collection of duties under those orders, and the administration of AD/CVD suspension agreements; and 3) to assist the Department's Office of the General Counsel in its responsibilities for the defense of litigation challenging actions under the AD/CVD laws.

Deputy Assistant Secretary's Subject File - Correspondence, petitions, internal memoranda, legal briefs, and related documentation. The papers are arranged alphabetically by subject or case. Much of the case material is duplicated in the files of the constituent offices.

Included in this description are records created by the Deputy Assistant Secretary for Tariff Affairs, Department of the Treasury. Because of the reorganization, these have longer term value to the Department of Commerce in documenting policies and procedures in the antidumping/countervailing duty area.

- a. Records created prior to 1980. Permanent. Retire to RSHF when no longer needed for current business or when 5 years old, whichever is sooner. Transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.
- b. All other records. Break file every 2 years, moving active files forward. Destroy inactive files 1 year after break.

Foreign Trade Zones Staff

The Foreign Trade Zones Staff serves as the executive secretariat of the Foreign Trade Zones Board, of which the Secretary of Commerce serves as Chairman. The office's activities include the processing

of foreign trade zones applications, holding hearings on zone proposals, monitoring zone operations, providing technical advice on zones, and publishing the Foreign Trade Zones Board's Annual Report.

2. Foreign Trade Zones Application File - Documents related to applications made by State and local agencies or public corporations for establishing or extending U.S. Foreign Trade Zones. File contains such records as applications for the establishment or expansion of zones, applicants' plans for acquiring title, methods of financing venture, economic surveys, descriptions of projects, estimates of costs, maps and plot plans, State laws authorizing applications, Federal Register and other notices, transcripts of public hearings, public comments, lists of proponents and opponents, newspaper clips and press releases. File maintained by zone and application.

Retire to RSHF 1 year after the termination of zone operation. Transfer to WNRC 2 years later, and destroy 7 years after transfer to WNRC.

3. Foreign Trade Zones Board - Orders and Program Files - Documents relating to the early operation of the Board and Orders promulgated the Board. Program section of file concerns Board procedures and items like the 1934 Executive Order 7104 (1935). Orders section of file contains copies of such orders as Grants, Zone Expansions, Zone Transfers, and relocations. Signed originals of Orders sent to and maintained by the Federal Register.

a. Program Section of File. When no longer needed for current business, remove and make part of Foreign Trade Zones Board History File.

b. Orders Section of File

(1) Record Copy of Order. Remove and make part of Foreign Trade Zones Board History File.

(2) All other copies - Destroy 3 years after publication in the Federal Register.

4. Foreign Trade Zones Board Operations File - Documents related to the operations and administrative proceedings of the Board. Records deal with such items as Circulars (Grant Rules and Regulations, Reproduction of Zone Forms, Zone Cargo Statistics), Dockets (Appeals of such cases as Dye and Imported PC Good and Mix and Color Rums), Proviso Cases (Requests to perform certain operations in a trade zone). File also contains backup papers for Docket decisions.

Move active papers forward annually and retire all others to RSHF 2 years later. Transfer to WNRC 1 year later and destroy when 13 years old.

5. Foreign Trade Zones Board History File - Documents relating to the development, composition, operations, programs, and policy of the Board. Records in binders pertain to such subjects as Board Authority, Board Meetings, Board Voting Records, Committee of Alternates Authority and Meetings, Board Member Addendums, and Board orders. File is a special effort by the Support Staff to maintain a history of Board activities.

Permanent. Retire to RSHF when 10 years old, transfer to WNRC 2 years later, and offer to the National Archives when 20 years old.

6. Support Staff Program File - Documents related to the management and operations of the Foreign Trade Zones Program. Papers in file pertain to such subjects as American Association of Port Authorities, Trade Mission Briefings, Import Programs, Hearings, Government Agencies, Customs, and the Foreign Service Institute. Records in file consist of such items as news releases, newspaper and magazine articles, speeches, pamphlets, weekly reports, and correspondence and memos.

Move active papers forward annually and retire all others to RSHF when 3 years old. Transfer to WNRC 2 years later, and destroy when 10 years old.

7. Foreign Trade Zones Board - Annual Reports - Annual report of operations issued by the Board. Reports present a summary of the year's activities by the Executive Secretary, reports of FTZ Grantees, and summaries of income and expenditures by each zone.

a. Record Copy - Permanent. Retire to RSHP in 10-year blocks and offer to the National Archives immediately.

b. All other copies - Destroy when no longer needed for reference purposes.

8. Zone Correspondence File - Letters and memos to and from and about the Foreign Trade Zones, including annual reports by FTZ grantees. File maintained by zone number and date.

Destroy when 5 years old.

9. State Correspondence File - Letters and memos to and from State and local officials and business. File maintained alphabetically by name of state and date.

Destroy when 3 years old.

10. Commodity Correspondence File - Letters and memos from government agencies, business groups and the public about commodities handled in zones. File maintained alphabetically by commodity category and then commodity.

Destroy when 3 years old.

11. Public Hearing Transcripts File - Copies of transcripts of public hearings held by the Board on zone applications, custom rulings, zone expansions, and similar subjects.

a. Record Copy - Retire to RSHF 3 years after hearing, transfer to WNRC 2 years later, and destroy when 15 years old.

b. All Other Copies - Destroy after they have served their purpose or when 5 years old, whichever is sooner.

12. Zone Schedule File - Tariff schedules and regulations for each operating zone. Papers in file cover rates and charges, descriptions of zone storage and services, and rules and regulations regarding merchandise and carriers. File maintained by zone.

Retire to RSHF 1 year after zone termination, transfer to WNRC 1 year later, and destroy 3 years after transfer to WNRC.

13. Zone Engineering Drawings - Copies of site drawings, layouts, d plot plans of zone installations. Usually submitted in support an application for or expansion of a zone and kept current as changes are approved. Drawings separately maintained in engineering drawings file cabinet by zone number.

Retire to RSHF 1 year after the termination of zone operations. Transfer to WNRC 2 years later and destroy 7 years after transfer to WNRC.

Statutory Import Programs Staff

The Statutory Import Programs Staff administers the program for the duty-free entry of scientific, educational, and cultural material under the Florence Agreement. In addition, the Staff jointly administers, with the Department of Interior, the licensing of quota recipients and the allocation of quota units in the Watch Quota Program, and also administers the Foreign Excess Property Program.

14. Florence Agreement - Duty-free Entry Application File - Documents relating to the receipt and processing of applications for the duty-free entry of scientific instruments or apparatus. File contains such records as applications for duty-free entry, item specifications, purchase orders, comments and evaluations on requests by other agencies (NIH, HHS, NBS, NOAA), equipment drawings, customs entry information, Federal Register notices of application, comments resulting from FR notices, drafts of decisions and old Federal Register notices of decision, transmittal documents, certified mail receipts, etc. File maintained in two sections - Record and Conformed - and folders are filed serially by docket numbers assigned by Customs. Early cases sometimes used to establish precedent.

a. Record Copy - Retire closed cases to RSHF when 2 years old. Transfer to WNRC 2 years later and destroy when 15 years old.

b. Conformed Copy - Move forward conformed copies of applications involving significant precedents or issues, outright denials and cases appealed to the Courts.

(1) Significant Cases: Destroy when no longer needed for current business.

(2) All Others: Destroy after final approval or denial of the applications.

15. Florence Agreement Program File - Documents relating to the management and operation of the program dealing with the duty-free entry of scientific instruments or apparatus. File is arranged alphabetically by subject and includes such topics as Appeals, Applications Reviewed, Congressional Inquiries, Decisions, Evaluations by Consultants, Legislation, Monthly Reports, and the like.

Move active papers forward annually and destroy all others when 3 years old.

16. Manufacturer Specification File - Letters, brochures, equipment specifications, and like items received from U.S. or foreign manufacturers of scientific instruments or apparatus.

Move active files forward annually and destroy all others when 3 years old.

17. Duty-free Application Docket Cards - These are 5x8-inch control cards used to record the receipt and actions taken on duty-free applications.

Destroy 15 years after approval or rejection of application.

18. Foreign Excess Property (FEP) Application File - Documents relating to the importation control of U.S. government excess property sold abroad. File contains such records as Foreign Excess Property (FEP) import Authorizations (ITA-305) or equivalent, Case Processing Checksheet, FEP Determinations (ITA-303) or equivalent, application for Foreign Excess Property (FEP) Determinations (ITA-302P) or equivalent, Notice of Awards (DD-1427) or equivalent, and correspondence. File maintained numerically by three-to five-digit application number.

Retire to RSHF 3 years after cases processed for given fiscal year (FY 1977 cases retired in October 1980), transfer to WNRC 2 years later, and destroy when 10 years old.

19. Foreign Excess Property Import Control Card File - Cards used to maintain the receipt and processing activity on FEP import determination applications.

Destroy 10 years after approval or rejection of application.

20. Bid Announcement File - Copies of requests for bids on excess government property in overseas locations. Bid Announcements put out by the Department of Defense in such forms as Local Spot Bids, Seal Bids, Sale of Foreign Excess Personal Property-Negotiated Sales Contract, and Term Sale. Bid Announcements used as a tool for determining the FEP status of property on import application request.

Retire to RSHF when 7 years old and transfer to WNRC 2 years later. Destroy when 15 years old.

21. Excess Property Program File - Documents relating to the management and operation of the Excess Property Unit. Papers in file cover such subjects as Authorizations, Classified Material Receipts, Defense Property Disposal Service, Export Administration Regulations, Congressional Hearings, Legislation, Policy, Regulations and Federal Register, Illegal Entry Cases, Revised Regulations and Procedures.

Move active papers and program history documents forward annually. Destroy inactive papers when 3 years old and program history documents when no longer needed for current business.

22. In Bond Entries File - Documents relating to excess property held in bond pending approval of import application. File contains such papers as transmittal letters from Customs, Consumption Entry - Bureau of Customs (Customs 7501) or equivalent, Pro Forma Invoices, Declaration for Free Entry of Returned American Products and Certificate of Exportation, and Immediate Delivery and Consumption Entry Bond.

Destroy 1 year after Customs notification of final liquidation, entry or other disposal of property.

23. Watch Quota Program File - Documents relating to the management and operation of the Watch Quota Program administered with the Department of Interior which limits the number of watches and watch movements imported duty-free from U.S. insular possessions (Virgin Islands, American Samoa, and Guam). Watch quotas allocated to obtain maximum direct economic development in insular possessions. File contains such subjects as Program Resources Handbook, Program Highlights, U.S. Trade with Switzerland, Clearance Requests, Legislation and Congressional Hearings, Watch Manufacturers and Watch Quota Rule-making and Federal Register Notices. File maintained alphabetically by subject.

Move active papers forward annually and destroy all others when 3 years old.

24. Watch Import Licensing and Permit File - Applications for licenses to enter watches and watch movements into the U.S., permits to enter watches and watch movements into the U.S., notices from insular companies that quotas will not be used up, quota reallocations, insular company tax reports and quarterly Social Security reports, correspondence from/to and about insular companies, quota recording and control worksheets, quarterly reports from companies on watch assembly operations, legal briefs and show cause orders.

Retire to RSHF when 3 years old and transfer to WNRC 2 years later. Destroy when 12 years old.

25. Watch Industry History File - Documents dating back to 1920 about foreign and domestic watch and allied product (i.e., bomb fuses, bombsights, etc.) manufacture. File contains documents on the creation, development and demise of watch making companies. Data in file pertains to such subjects as making fuses and weapons instruments by watch companies, conversion of German watch plants during WW II, history of the Swiss Watch industry, company and country agreements and regulations, the Swiss Watch Cartel, watch manufacture superholdings, economic and trade notes from 1920, the chronometer competition from 1934, watch making in Germany, United Kingdom, Russia, and Japan, records on imported watch movements, and jeweled and electronic watch manufacture. Records consist of original and copies of correspondence, newspaper and magazine articles, company sales brochures and annual reports, confidential survey reports, Foreign Service dispatches, copies of agreements and regulations, and internal memos and notes. File alphabetically maintained by subject.

Permanent. Retire to RSHF when no longer needed for current business. Transfer to WNRC immediately and offer to the National Archives when 20 years old.

Office of Investigations

This office is responsible for analyzing petitions submitted by a U.S. manufacturer, producer, trade association or union under the antidumping and countervailing duty laws; initiating investigations; drafting and presenting questionnaires and analyzing responses to such; arranging public hearings during the course of an investigation; preparing recommendations regarding the disposition of individual AD/CVD cases; calculating initial deposits of estimated dumping duty amounts; and preparing notices of determinations for publication in the Federal Register.

26. Weekly Treasury AD/CVD Meetings - Copies of proceedings of weekly meetings dealing with the progress of activities in the AD/CVD area.

Destroy when 1 year old.

27. Status Reports File - Quarterly status reports on the number of invoices on which appraisal has not been completed and monthly status reports on actions taken on AD/CVD cases.

Destroy when superseded or obsolete.

28. Director's Subject File - Correspondence, memoranda, and related documentation dealing with procedural changes, verification procedures of investigations, agreements between the Department and the U.S. Customs Service on the administration of AD/CVD laws, and the like. Notable headings include Procedures - Dumping (General), Committee on Trade Bill, International AD Code Part III, CVD General File, Reorganization of Technical Section (Dumping), Briefing Memoranda for the Commissioner and so on. The file is arranged alphabetically by subject.

Permanent. Break file every 5 years. Move active papers forward, and retire all others to RSHF. Transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

29. Import Administration Closed Investigative Case Files - Deal with possible violations of trade agreements, viz., "that a class or kind of foreign merchandise is being, or is likely to be sold in the United States at less than its fair value"; or a subsidy is "provided directly, or indirectly, with respect to the manufacture, production or exportation of a class or kind of merchandise into the United States." In the former situation, an Antidumping Duty investigation is initiated, while the latter leads to a Countervailing Duty investigation. This activity is mandated by the Trade Agreements Act of 1979 (Public Law 96-39--July 26, 1979). This office investigates violations

concerning all commodities except steel. That responsibility lies with the Trigger Price Mechanism unit of the Agreements Compliance Division, Office of Compliance.

A new filing system was instituted in late 1980 for all active cases. The new numbering system, A000-000-00-00, indicates whether the case refers to an Antidumping or Countervailing Duty matter, A or C, the country number, the sequential case number, the company number and the last two digits of the year of annual review. Previously, the files were arranged by commodity and country, and were also given a file number, e.g., 77.12, denoting the year in which the case was opened and its individual number. Included among the documents are petitions requesting an investigation, questionnaires sent to foreign companies or governments and their responses, copies of Federal Register notices, incoming and outgoing correspondence, internal memoranda, printed and processed material, legal briefs and the like, plus a Case Document Index of every document placed in the Official File.

As of January 2, 1980, in addition to maintaining an Official Case File, it became necessary to establish and maintain supplementary files as noted in 19 CFR Part 353 and 19 CFR Part 355 published in January and February 1980. All files except the Working File are maintained in a Central Files and Docket System (CFDS).

a. Affirmative Final Determination or Suspension of Investigation - Transfer all case records to appropriate unit within the office of Compliance, Import Administration, for further action.

b. Negative Final Determination

(1) Case Files Closed Prior to 1980. Permanent. Retire to RSHF in January 1981 and transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

(1) Case Files Closed after January 1, 1980

(a) Official File - Permanent. Retire to RSHF at the end of each year and transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

(b) Working File - Copies of all documents in the Official File. Maintained by the case officer responsible for the investigation.

Destroy on-site 6 months after case is closed.

(c) Public Information File - All case documents that do not contain proprietary information as well as non-proprietary summaries.

Destroy on-site 5 years after case is closed.

(d) Protective Order File - Copies of all case documents, including proprietary information (except that submitted by foreign governments) available to attorneys of a party to the proceedings.

Destroy on-site when order ceases.

(e) Internal Reading File - Copies of all documents in the official File, except National Security Classified material. Certain case files are copied for use by the General Counsel and the Office of Policy, as well as other Import Administration officials.

--Destroy if case is closed by Office of Investigation.

--If an Affirmative Final determination is made, transfer file to office of Compliance, if required. Otherwise, destroy.

(f) Court File - A complete, certified copy of the Official File of a case, or any part of that file, required by the court.

Destroy upon resolution of the case.

30. Technical Information Files - Printed and processed materials, copies of correspondence and Federal Register notices, work papers and the like accumulated solely for reference purposes.

Destroy in accordance with the General Administration Records Control Schedule.

Office of Compliance

This Office has the responsibility to collect and analyze data necessary for determining the amount of antidumping or countervailing (AD/CVD) duty to be collected annually on each existing order; monitor negotiated agreements resulting from suspensions in AD/CVD investigations; administer the trigger price mechanism for selected steel mill products; serve as primary contact to U.S. Customs service on matters pertaining to the administration of AD/CVD laws; arrange public hearings when requested by parties interested in the proposed results of annual reviews; and prepare notices for publication in the Federal Register explaining results of reviews.

Three Divisions comprise the office:

- o Antidumping Order Compliance Division
- o Countervailing Duty Order Compliance Division
- o Agreements Compliance Division

Office of the Director

31. Director's Subject File - Correspondence, reports, memoranda, and questionnaires arranged alphabetically by subject. These document the policies, procedures, and implementation of decisions necessary in carrying out the functions of the office.

Permanent. Break file every 5 years, move active papers forward, and retire all others to RSHF. Transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

32. Chronological File - Contains a copy of each piece of outgoing correspondence prepared in the office.

Destroy when 2 years old.

33. Import Administration Closed Compliance Order Case Files - Initially created by the Office of Investigations, Import Administration, in response to a petition to investigate possible violations of the Trade Agreements Act of 1979. When, as a result of an investigation, an affirmative final determination by both ITA and the ITC is reached, the case is referred to the Office of Compliance for assessment and collection of the appropriate duty - antidumping or countervailing. Two organizations, the Antidumping Order Compliance Division and the Countervailing Order Compliance Division deal with these cases.

A new filing system was instituted in late 1980 for all active cases. The new numbering system, A000-000-00-00, indicates whether the case refers to an Antidumping or Countervailing Duty matter, A or C, the country number, the sequential case number, the company number and the

last two digits of the year of annual review. Previously, the files were arranged alphabetically by country and, thereunder, by commodity. Each was also assigned a case number, e.g. 77.25, indicating the year in which it was opened and the individual case number. Included here are incoming and outgoing correspondence, memoranda, communications from foreign governments and embassies, ITC Reports of Investigations, related supporting documents, printed and processed materials, and a Case Document Index of every document placed in the Official File.

Effective January 2, 1980, in addition to maintaining an Official Case File, it became necessary to establish and maintain supplementary files as noted in 19 CFR Part 353 and 19 CFR Part 355 published in January and February 1980. All files except the Working File are maintained in a Central Files and Docket System (CFDS).

a. Case Files Closed Prior to 1980. Permanent. Retire to RSHF in January 1981 and transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

b. Case Files Closed After January 1, 1980.

(1) Official File - Permanent. Move closed cases to inactive files at the end of each year and retire to RSHF 2 years later. Transfer to WNRC immediately and offer to the National Archives when 20 years old.

(2) Working File - Copies of all documents in the Official File. Maintained by the case officer responsible for the commodity on which duty is being assessed or for which an agreement is being monitored.

Destroy on-site 2 years after case is closed.

(3) Public Information File - All case documents that do not contain proprietary information as well as non-proprietary summaries.

Destroy on-site 5 years after case is closed.

(4) Protective Order File - Copies of all case documents, including proprietary information (except that submitted by foreign governments), available to attorneys of a party to the proceedings.

Destroy on-site when order ceases.

(5) Internal Reading File - Copies of all documents in the official File, except National Security Classified material. Certain case files are copied for use by the General Counsel and the Office of Policy, as well as other Import Administration officials.

Destroy when case is closed.

(6) Court File - A complete, certified copy of the Official File of a case, or any part of that file, required by the court.

Destroy upon resolution of the case.

34. Agreements Compliance Subject File - Printed and processed material, incoming and outgoing correspondence, memoranda, reports, briefing materials and the like arranged by a subject classification system. The file deals primarily with the establishment of the Steel Trigger Price Mechanism and with data accumulated from a variety of sources to set up the program.

a. Administration 170; Basics of TPM 200-230,250,260,280; Preclearance Program 640; Legal Issues 810-850, inclusive.

Permanent. Break file every 5 years, move active papers forward, and retire all others to RSHF. Transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

b. Administrative Files (except File Classification 170) - Destroy in accordance with the General Administration Records Control Schedule.

c. All other papers - Destroy when no longer needed for current business or when 5 years old, whichever is sooner.

35. Agreements Compliance Country File - Cables arranged alphabetically by name of country. These deal with a variety of matters including customs valuation, dumping cases, MTN, negotiations, implementation of agreements and the like.

Move active files forward and destroy all others when 2 years old.

36. Trigger Price mechanism Public Comments - Correspondence from the private sector and Congress concerning the possible removal of wire rods and other categories of steel products from the Steel Trigger Price Mechanism, along with replies to these inquiries. The public is represented by individual steel company employees, law firms, municipal officials, shareholders, company presidents, etc. The 'Davis-Walker Case' is a part of this file, as are formal statements made by trade associations, Davis-Walker Company officials, and other interested parties in the private sector. The files are arranged in chronological order.

Destroy when 5 years old.

37. Technical Information Files - Printed and processed material, duplicates of correspondence, news clippings, and workpapers accumulated solely for reference purposes.

Destroy in accordance with the General Administration Records Control Schedule.

Trigger Price Mechanism

The purpose of the Steel Trigger Price Mechanism (TPM) is to provide the means of identifying, on an expedited basis, steel imports being "dumped" into U.S. markets. Dumping is defined as the injurious sale of goods below their fair value. Under TPM, all importers are required to submit upon entry of steel mill products, AISI (American Iron and Steel Institute) Categories 1 thru 32, a Special Steel Summary Invoice (CF-5520) describing merchandise and relative prices.

38. Trigger Price Mechanism Closed Investigative Case Files - Deal with possible violations of trade agreements, viz., "that a class or kind of foreign merchandise is being, or is likely to be sold in the United States at less than its fair value"; or a subsidy is "provided directly, or indirectly, with respect to the manufacture, production or exportation of a class or kind of merchandise into the United States." In the former situation, an Antidumping Duty investigation is initiated, while the latter leads to a Countervailing Duty investigation. This activity is mandated by the Trade Agreements Act of 1979 (Public Law 96-39--July 26, 1979). Effective with the reinstatement of the Trigger Price Mechanism on October 21, 1980, investigations initiated as a result of TPM monitoring are handled by the Agreements Compliance Division.

A new filing system was instituted in late 1980 for all active cases. The new numbering system, A000-000-00-00, indicates whether the case refers to an Antidumping or Countervailing Duty matter, A or C, the country number, the sequential case number, the company number and the last two digits of the year of annual review. Previously, the files were arranged by commodity and country, and were also given a file number, e.g., 77.12, denoting the year in which the case was opened and its individual number. Included among the documents are petitions, incoming

and outgoing correspondence, internal memoranda, printed and processed material, legal briefs and the like.

As of January 2, 1980, in addition to maintaining an Official Case File, it became necessary to establish and maintain supplementary files as noted in 19 CFR Part 353 and 19 CFR Part 355 published in January and February 1980. All files except the Working File are maintained in a Central Files and Docket System (CFDS).

a. Affirmative Final Determination or Suspension of Investigation - Transfer all case records to appropriate unit within the Office of Compliance, Import Administration, for further action.

b. Negative Final Determination

(1) (Reserved)

(2) Case Files Closed after January 1, 1980

(a) Official File - Permanent. Retire to RSHF at the end of each year and transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

(b) Working File - Copies of all documents in the Official File. Maintained by the case officer responsible for the investigation.

Destroy on-site 6 months after case is closed.

(c) Public Information File - All case documents that do not contain proprietary information as well as non-proprietary summaries.

Destroy on-site 2 years after case is closed.

(d) Protective Order File - Copies of all case documents including proprietary information (except that submitted by foreign governments) available to attorneys of a party to the proceedings.

Destroy on-site when order ceases.

(e) Internal Reading File - Copies of all documents in the official File, except National Security Classified material. Certain case files are copied for use by the General Counsel and the Office of Policy, as well as other Import Administration officials.

Destroy when case is closed.

(f) Court File - A complete, certified copy of the Official File of a case, or any part of that file, required by the court.

Destroy upon resolution of the case.

39. Special Steel Summary Invoices (SSSI) - The files are composed of seven major subgroups:

a. Special Steel Summary Invoice (SSSI), CF-5520 or equivalent, and TPM Worksheet, CF-217 or equivalent - Above TP and No TP; also below TP (grace period and seconds). During the period of TPM suspension (March 23 - October 20, 1980) when worksheet reporting was not in effect, SSSI's were filed by country only.

Retire to RSHF on a monthly basis and transfer to WNRC when 1 year old. Destroy when

5 years old.

b. Special Steel Summary Invoice (SSSI), CF-5520 or equivalent, TPM Worksheet, CF-217 or equivalent, and "Log" - Below TP

Logs are prepared daily from all incoming SSSI's/TPM Worksheets reflecting imports below the trigger price. Invoices are filed by batch with the log. Telexes are also dispatched to U.S. importers/buyers for random sampled shipments above the trigger office where the international transaction was between related parties and there has been no unrelated resale at the time of entry summary.

Cut off files at the end of each year and retire to RSHF when 1 year old. Hold 1 year, then transfer to WNRC. Destroy when 5 years old.

c. Special Steel Summary Invoice (SSSI), CF-5520 or equivalent, and TPM Worksheet, CF-217 or equivalent - Telex Questionnaire Files

Telex questionnaires are dispatched to U.S. importers/buyers as warranted regarding significant sales below trigger price appearing on "logs". These questionnaire files are filed numerically with a cross reference noted on the source "log".

Cut off files at the end of each year and retire to RSHF when 1 year old. Hold 1 year, then transfer to WNRC. Destroy when 5 years old.

d. Steel Trigger Price Antidumping Case Self-Initiation Files

"Self-initiation" occurs when telex questionnaire responses as well as information gathered from other sources indicates that antidumping investigation is warranted for a certain product/country and the Office of Investigations is so alerted.

Included in the file are telex questionnaires and responses, and summaries of information concerning identifying data, trigger price comparison, fair value comparison, and injury data.

Cut off files at the end of each year and retire to RSHF when 1 year old. Hold 1 year, then transfer to WNRC. Destroy when 5 years old.

e. Computer Reports - Steel Trigger Price Transaction Item Sorts by 'Seller', District, and "Below TP Seller"

(1) Seller Sort (Seller/Country) - Sorts all transactions by country/seller/category, and provides total quantity and CIF value for (a) category within each seller, (b) seller within each country, (c) country, and (d) all countries (grand total).

(2) District Sort - Sorts all transactions by district/country/category and provides total number of transactions, quantity and CIF value for (a) category within each country, (b) country within each district, and (c) all districts (grand total).

(3) Below TP Seller Sort - Sorts and provides totals as in Item 1 using only those transactions typed below trigger price (other than grace period or seconds). "Margin" totals are also provided here.

Cut off files at the end of each year and retire to RSHF when 1 year old. Hold 1 year, then transfer to WNRC. Destroy when 5 years old.

f. Computer Reports - "Cats", "Recap", "Trig", and "Tons"

These reports provide for an overview of steel import transaction data by country, category, type and accumulated (a) number of transactions, (b) quantity, (c) CIF value, (d) margin % (Margin value - CIF value), and (e) pct. of imports by type.

"Cats" details items (a) thru (e).

"Recap" details items (a), (b), (c), and (e) by relationship of importer to foreign seller.

"Trig" details items (a) thru (d) by relationship of importer to foreign seller.

"Tons" details imports below trigger price only, items (a) thru (e).

Cut off files at the end of each year and retire to RSHF when 1 old. Hold 1 year, then transfer to WNRC. Destroy when 5 years old.

40. Computer Input/Output Media

The left-hand side of the CF-217 TPM Worksheet copy used for ADP recording was transcribed to Hollerith cards for input during the period April 1978 thru December 1979. Such ADP transaction data is considered "current" for a 2-year period from the end of the calendar quarter or other reporting period in which the transactions were reported and included in the TPM data sorts. April 1978 thru September 1979 was the first reporting period; thereafter, reports were created by calendar quarters.

Beginning with the first such calendar quarter reports (October 1978 thru December 1978), the cards were transcribed to tapes. These tapes are used to provide for production of the Transaction Item Sorts by "Seller", "District", and "Below TP Seller". The system is designed so that the initial tape is processed thru several programs which edit the data and produce sorted magnetic tapes as follows:

CSDC.ZF.CDTP - raw transaction (card) data to tape

CSDC.ZF.WTRAN - first edited tape produced

CSDC.ZF.SWTRAN - all transactions (edited) sorted by "Seller"

DC.ZF.SMFR 56 - transactions (edited) sorted by "Below TP Seller" (Note : Although this sorts only types 5 and 6 for printing, all (edited) transactions are contained on this tape.)

CSDC.ZF.SDISTs - all (edited) transactions sorted by 'Districts'

Photocopied output tapes created from these tapes provide for hard copies of the final reports. The photocopied tapes are normally held for 10 days, then destroyed.

Disposition is as follows:

a. Cards

As there are no retrievable "edited" tapes on file for the major part of February thru September 1978 (and also a small backlog coded during the 4th quarter 1978) due to modification of tape programs being designed and debugged during these periods, all cards for these periods have been retained.

Destroy when 2 years old.

b. Tapes

Tapes are on file in the climate controlled tape library at the U.S. Customs Service for the quarterly periods October 1978 thru December 1979.

Erase when 2 years old.

c. Disc

Five quarters of data are being placed on disk (the present quarter and the four preceding quarters). After the data has remained on the disc for five quarters, it will be cycled off onto tape.

Retain resulting tape for 2 years, then erase.

Office of Policy

This Office acts as the principal staff to the DAS for Import Administration in the formulation and implementation of policies governing the Department's administration of AD/CVD statutes, insuring that actions taken are consistent with overall U.S. trade policy. In consultation with the Department's Office of the General Counsel, it ensures the uniform application of statutory and regulatory provisions of AD/CVD laws on a case-by-case basis; along with the Office of the U.S. Trade Representative, it negotiates possible suspensions of AD/CVD investigations. It acts for the DAS and, as appropriate, the Assistant Secretary for Trade Administration, in representing the views of the Department in domestic, interagency, and international forums.

41. Import Administration Closed Policy Case Files - Document the office's activity in overseeing the administration of antidumping and countervailing duty investigations as prescribed by the Trade Agreements Act of 1979.

A new filing system was instituted in late 1980 for all active cases. The new numbering system, A000-000-00-00, indicates whether the case refers to an Antidumping or Countervailing Duty matter, A or C, the country number, the sequential case number, the company number and the last two digits of the year of annual review. Previously, the files were arranged by commodity and country, and in some cases given a file number, 67-74, which indicated the year in which the case was opened and its individual number. Included are duplicates of correspondence and background information from U.S. Customs Service, policy inter-office memoranda, and situation papers not referred to U.S. Customs Service, copies of published (Federal Register) findings, inter-government communications, transcripts of hearing, submissions by attorneys and related background, supporting documentation, and a case Document Index of every document placed in the Official File.

As of January 2, 1980, in addition to maintaining an Official Case File, it became necessary to establish and maintain supplementary files as noted in 19 CFR Part 353 and 19 CFR Part 355 published in January and February 1980. All files except the Working File are maintained in a Central Files and Docket System (CFDS).

a. Case Files Closed Prior to 1980

Permanent. Retire to RSHF in January 1981 and transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

b. Case Files Closed after January 1, 1980

(1) Official File – Permanent. Move closed cases to inactive files at the end of each year and retire to RSHF 2 years later. Transfer to WNRC immediately and offer to the National Archives when 20 years old.

(2) Working File - Copies of all documents in the Official File maintained by the case officer responsible for the particular commodity under review.

Destroy on-site 2 years after case is closed.

(3) Public Information File - All case documents that do not contain proprietary information.

Destroy on-site 5 years after case is closed

(4) Protective Order File - Copies of all case documents, including proprietary information (except that submitted by foreign governments), available to attorneys of a party to the proceedings.

Destroy on-site when order ceases.

(5) Internal Reading File - Copies of all documents in the Official File, except National Security Classified material. Certain case files are copied for use by the General Counsel and the Office of Policy, as well as other Import Administration officials.

Destroy when case is closed.

(6) Court File - A complete, certified copy of the Official File of a case, or any part of that file, required by the court.

Destroy upon resolution of the case.

42. Director's Subject File - Arranged alphabetically by subject, this consists of incoming and outgoing correspondence, reports, memoranda and the like dealing with policy and procedures, formats for petitions, use of computers for data analysis, the disposition of cases, legislation, foreign government activities, international organizations and trade agreements that all affect, or possibly affect, the administration of the antidumping and countervailing duty laws. Subjects include U.S.-Canadian Auto Agreement, Adjustment Assistance, Antidumping Foreign Governments, Anti-Trust Division (Justice), Non-Tariff Trade Barriers (NTB), Bonding, Countervailing Briefing Book-Japan, GATT, and proposed changes in the Regulations.

Permanent. Break file every 5 years, move active files forward and retire all others to RSHF. Transfer to WNRC 1 year later. Offer to the National Archives when 20 years old.

43. Public Inquiry File - Correspondence from the public, alleging some violation of law which is investigated by the office.

a. If case results, file in case folder.

b. If no action is filed, destroy when 6 months old.

44. (Reserved)

Economic Analysis and ADP Support

Among other responsibilities, this office performs two tasks which require processing and storage of records that are computer-generated. The first is to assist in the development of systems and procedures for economic analysis, data acquisition, and data verification that will expedite and/or improve that conduct of antidumping and countervailing duty investigations. Personnel in the office work with Import Administration investigators in developing ADP methods of analyzing data

submitted by case respondents and monitoring antidumping cases on a systematic basis. The second task is to develop foreign trade data files from published sources, both international and foreign national, which support decision-making in regard to import policy and administration.

45. Investigative Support File

Whenever a domestic producer claims unfair pricing practices on the part of one foreign firm or country, Import Administration sends questionnaires to at least 80% of the businesses in the foreign country which are engaged in the specific business activity. The foreign businesses respond to the questionnaires by sending in machine-readable data or in written form which is encoded into machine-readable records. This information is entered into an on-line ADP system which facilitates analysis of the information to determine the accuracy of the charges of predatory practices. Printouts of the analysis become part of the case files maintained in the Central Files and Docket System (CFDS).

- a. Source files: Return to the respondent or destroy at the conclusion of the investigation according to the wishes of the respondent. The Trade Act of 1979 specifies that the information belongs to the respondent and is not the property of ITA.
- b. On-line machine-readable files: Destroy at the conclusion of the investigation or sooner, if no longer needed.
- c. Printouts not included in the case files: Destroy at the conclusion of the investigation or sooner, if no longer needed.

46. International Trade System

The unit acquires import and export data from the Bureau of the Census on all United States trade and from the Organization for Economic Cooperation and Development (OECD) on all trade between OECD countries and the rest of the world, and among OECD countries. In addition to comparing the prices, values, and quantities of imports to the United States with that of other countries, the unit also performs edits on the OECD data to compensate for re-exports from the United Kingdom, Belgium, the Netherlands, and possibly other countries. These edited files are referred to as "adapted records." For those commodities which ITA is investigating for dumping or countervailing duties, the unit creates from the cross-sectional annual files from OECD extracts dealing with specific commodities arranged into longitudinal time-series files.

The Department of State procures the OECD data and provides it to this unit which serves as the disseminating agency of OECD data for all Federal agencies at no charge.

Printouts:

- a. International trade data which has been generated from the Census Bureau import and export data by a contracted processing firm. They are filed alphabetically by project and commodity.

Destroy when no longer needed for current business or when 10 years old, whichever is sooner.
- b. International trade data which has been generated by the office staff. They are filed according to TSUSA number. Monthly and annual compilations comprise the reports.
 - (1) Monthly data: Destroy when 2 years old.

(2) Annual data: Destroy when 10 years old.

Computer tapes:

b. U.S. Import and Export Information from the Census Bureau:
Destroy after 3 years.

d. OECD tape files

(1) OECD Annual Trade Statistics, 1961-71
OECD Annual Exports Statistics, 1961-71

Erase when no longer needed for current business.

(2) OECD Annual Trade Statistics, 1972-80
OECD Annual Exports Statistics, 1972-80

PERMANENT. Retire to ITA RSHF and immediately offer to the National Archives for permanent retention.

(3) OECD Annual Trade Statistics after 1980
OECD Annual Exports Statistics after 1980

PERMANENT. Retire to ITA RSHF and immediately offer to the National Archives for permanent retention when no longer needed for current business.

e. Adapted OECD files: Destroy after 3 years or sooner, if no longer needed.

f. Time-series files: Destroy at the conclusion of the investigation or sooner, if no longer needed.