

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0040-2017-0001

Request for Records Disposition Authority

Records Schedule Number DAA-0040-2017-0001
Schedule Status Returned Without Action

Agency or Establishment Department of Commerce
Record Group / Scheduling Group General Records of the Department of Commerce
Records Schedule applies to Major Subdivision
Major Subdivision Office of Inspector General (OIG), DOC
Schedule Subject Office of Investigations, OIG, DOC, Case Management System

Internal agency concurrences will be provided No

Background Information DOC OIG
 Office of Investigations

This schedule pertains to only case files found in the system. Case files predating the launch of the system in July 2014 shall remain scheduled under its previous authority N1-040-02-001.

The Case Management System serves to automate, manage, and archive case files developed during investigations of known or alleged fraud and abuse, irregularities and violations of laws and regulations, mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	3

GAO Approval

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Outline of Records Schedule Items for DAA-0040-2017-0001

Sequence Number	
1	DOC OIG Investigative Records
1.1	DOC OIG Investigative Case Files of Significant Value
1.1.1	DOC OIG Investigative Case Files of Significant Value Disposition Authority Number: DAA-0040-2017-0001-0001
1.2	All Other DOC OIG Investigative Case Files Not Covered by Item 0001.
1.2.1	All Other DOC OIG Investigative Case Files Not Covered by Item 0001. Disposition Authority Number: DAA-0040-2017-0001-0002
1.3	Files Containing Information or Allegations That Do Not Relate to A Specific Investigation.
1.3.1	Files Containing Information Or Allegations That Do Not Relate To A Specific Investigation. Disposition Authority Number: DAA-0040-2017-0001-0003

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Records Schedule Items

Sequence Number	
1	<p>DOC OIG Investigative Records DOC OIG was established by the IG Act of 1978, as amended. The system contains investigative reports and materials gathered or created with regard to investigations of administrative, civil, and criminal matters by DOC OIG and other Federal, State, local, tribal, territorial, nongovernmental, international, foreign regulatory, or foreign law enforcement agencies or entities. Categories of records may include: Complaints; requests to investigate; information contained in criminal, civil, or administrative referrals; statements from subjects and/or witnesses; affidavits, transcripts, police reports, photographs, and/or documents relative to a subject's prior criminal record; medical records; accident reports; materials and intelligence information from other governmental investigatory or law enforcement organizations; information relative to the status of a particular complaint or investigation, including any determination relative to criminal prosecution, civil, or administrative action; general case management documentation; subpoenas and evidence obtained in response to subpoenas; evidence logs; pen registers; correspondence; personal information, including financial and biometric data; forensic computer images; records of investigation; and other data and evidence collected or generated by DOC OIG's Office of Investigations while conducting its official duties.</p>
1.1	<p>DOC OIG Investigative Case Files of Significant Value DOC OIG Investigative case files of significant value because the case attracts substantial national media attention (i.e., two or more national publications), results in a Congressional hearing, or results in substantive changes in agency policies and procedures. These consist of Investigation, Preliminary Investigation, and Whistleblower Reprisal Case Files.</p>
1.1.1	<p>DOC OIG Investigative Case Files of Significant Value</p> <p>Disposition Authority Number DAA-0040-2017-0001-0001</p> <p>DOC OIG Investigative case files of significant value because the case attracts substantial national media attention (i.e., two or more national publications), results in a Congressional hearing, or results in substantive changes in agency policies and procedures. These consist of Investigation, Preliminary Investigation, and Whistleblower Reprisal Case Files.</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Applies only to case files found in the DOC OIG Case Management System.</p>

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	<p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off closed files at the end of each fiscal year.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 years after file cutoff in accordance to NARA electronic file format guidance.</p> <p>Additional Information</p> <p>First year of records accumulation 2014</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2014 To 2015</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p>
1.2	<p>All Other DOC OIG Investigative Case Files Not Covered by Item 0001. All other DOC OIG investigative case files not covered in item 0001, to include OIG investigations, preliminary investigations, whistleblower reprisal investigations, and requests for assistance from other law enforcement agencies.</p>
1.2.1	<p>All Other DOC OIG Investigative Case Files Not Covered by Item 0001.</p> <p>Disposition Authority Number DAA-0040-2017-0001-0002</p> <p>All other DOC OIG investigative case files not covered by item 0001. These consist of Investigation, Preliminary Investigation, Whistleblower Reprisal, Requests for Assistance from other law enforcement agencies, and Internal Complaint Case Files.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Applies only to case files found in the DOC OIG Case Management System.</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p>

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	Cutoff Instruction	Cut off closed files at the end of each fiscal year.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
1.3	Files Containing Information or Allegations That Do Not Relate to A Specific Investigation. They include anonymous or vague allegations not warranting a DOC OIG investigation, including closed hotline or other matters referred to DOC operating units or other agencies for handling or closed with no action, and other support files providing general information that may prove useful in DOC OIG investigations.	
1.3.1	Files Containing Information Or Allegations That Do Not Relate To A Specific Investigation. Disposition Authority Number DAA-0040-2017-0001-0003 They include anonymous or vague allegations not warranting a DOC OIG investigation, including closed hotline or other matters referred to DOC operating units or other agencies for handling or closed with no action, and other support files providing general information that may prove useful in DOC OIG investigations. These consist of Referral with Response, Referral with No Response, Internal Referral, Outside Referral, Unrelated, and Zero File Case Files.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	No
	Explanation of limitation	Applies only to case files found in the DOC OIG Case Management System.
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off closed files at the end of each fiscal year.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required

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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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
03/14/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
06/15/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/26/2017	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
06/26/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
07/05/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
07/07/2017	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
07/07/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
08/01/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
09/14/2017	Return Without Action	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services

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