

## Request for Records Disposition Authority

Records Schedule Number      DAA-0040-2018-0001  
 Schedule Status                Approved  
  
 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 investigative case files found in the DOC OIG Office of Investigations Case Management 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	1	2	0

**GAO Approval**

## Outline of Records Schedule Items for DAA-0040-2018-0001

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-0040-2018-0001-0001
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-0040-2018-0001-0002
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-0040-2018-0001-0003

## Records Schedule Items

Sequence Number	
1	<p><b>DOC OIG Investigative Records</b> DOC OIG was established by the IG Act of 1978, as amended. The DOC OIG Office of Investigations Case Management 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><b>DOC OIG Investigative Case Files of Significant Value</b> 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. The required related metadata elements will be included in accordance with 36 C.F.R. § 1235.48. Metadata elements describing the case files may include the following: Case #, Date Opened, Date Closed, MB, # of Docs, and Information (a narrative field which describes the case at a high level).</p>
1.1.1	<p><b>DOC OIG Investigative Case Files of Significant Value</b> Disposition Authority Number      DAA-0040-2018-0001-0001  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. The required related metadata elements will be included in accordance with 36 C.F.R. § 1235.48. Metadata elements describing the case files may include the following: Case #, Date Opened, Date Closed, MB,</p>

**# of Docs, and Information (a narrative field which describes the case at a high level).**

**Final Disposition** Permanent

**Item Status** Active

**Is this item media neutral?** No

**Explanation of limitation** Applies only to case files found in the DOC OIG Office of Investigations 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.

**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.

**Additional Information**

**First year of records accumulation** 2014

**What will be the date span of the initial transfer of records to the National Archives?** From 2014 To 2014

**How frequently will your agency transfer these records to the National Archives?** Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	75 MB	
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

All Other DOC OIG Investigative Case Files Not Covered by Item 0001. All other DOC OIG Investigative Case Files not covered by item 0001. These consist of Investigation, Preliminary Investigation, Whistleblower Reprisal,

	<b>Requests for Assistance from other law enforcement agencies, and Internal Complaint Case Files.</b>
1.2.1	<b>All Other DOC OIG Investigative Case Files Not Covered by Item 0001.</b>
	Disposition Authority Number <b>DAA-0040-2018-0001-0002</b>
	<b>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.</b>
	Final Disposition <b>Temporary</b>
	Item Status <b>Active</b>
	Is this item media neutral? <b>No</b>
	Explanation of limitation <b>Applies only to case files found in the DOC OIG Office of Investigations Case Management System.</b>
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? <b>No</b>
	<b>Disposition Instruction</b>
	Cutoff Instruction <b>Cut off closed files at the end of each fiscal year.</b>
	Retention Period <b>Destroy 10 year(s) after cutoff.</b>
	<b>Additional Information</b>
	GAO Approval <b>Not Required</b>
1.3	<b>Files Containing Information or Allegations That Do Not Relate to A Specific Investigation.</b>
	<b>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.</b>
1.3.1	<b>Files Containing Information Or Allegations That Do Not Relate To A Specific Investigation.</b>
	Disposition Authority Number <b>DAA-0040-2018-0001-0003</b>
	<b>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.</b>

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 Active

Is this item media neutral? No

Explanation of limitation Applies only to case files found in the DOC OIG Office of Investigations 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

### 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
11/27/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
01/25/2018	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
02/14/2018	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
02/14/2018	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
03/07/2018	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
05/04/2018	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
05/04/2018	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
06/26/2018	Submit for Concurrence	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
06/26/2018	Concur	Kate Flaherty	Appraiser	National Archives and Records Administration - ACRA
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist