

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0568-2018-0001**

Schedule Status                      **Approved**

Agency or Establishment              **Bureau of Customs and Border Protection**

Record Group / Scheduling Group      **Records of the Bureau of Customs and Border Protection**

Records Schedule applies to              **Agency-wide**

Schedule Subject                      **Administrative and Management Records: Internal Investigation  
Records**

Internal agency concurrences will be provided      **No**

### Background Information

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>6</b>	<b>3</b>	<b>3</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0568-2018-0001

Sequence Number	
1	Civil Rights and Civil Liberties Allegation Tracking Records Disposition Authority Number: DAA-0568-2018-0001-0001
2	Routine Internal Investigation Files Disposition Authority Number: DAA-0568-2018-0001-0002
3	Significant Internal Investigation Files Disposition Authority Number: DAA-0568-2018-0001-0003
4	Prison Rape Elimination Act Allegation Tracking Records Disposition Authority Number: DAA-0568-2018-0001-0004
5	Prison Rape Elimination Act Annual Reports Disposition Authority Number: DAA-0568-2018-0001-0005
6	Professional Responsibility Annual Reports Disposition Authority Number: DAA-0568-2018-0001-0006

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1174 411"><b>Civil Rights and Civil Liberties Allegation Tracking Records</b></p> <p data-bbox="345 432 1151 464">Disposition Authority Number      DAA-0568-2018-0001-0001</p> <p data-bbox="345 489 1503 674">Records developed to track and monitor complaints that are or will be investigated by DHS Civil Rights and Civil Liberties regarding alleged violations of civil rights and civil liberties, and to track and monitor Requests for Information associated with complaints. Allegations made are related to DHS personnel and programs administered or financed by DHS.</p> <p data-bbox="345 695 919 726">Final Disposition                      Temporary</p> <p data-bbox="345 747 849 779">Item Status                              Active</p> <p data-bbox="345 800 818 831">Is this item media neutral?          Yes</p> <p data-bbox="345 852 805 978">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 data-bbox="345 1020 659 1052"><b>Disposition Instruction</b></p> <p data-bbox="345 1073 1094 1104">Cutoff Instruction                      Cut off at close of case.</p> <p data-bbox="345 1125 1174 1157">Retention Period                      Destroy 4 year(s) after cutoff.</p> <p data-bbox="345 1199 654 1230"><b>Additional Information</b></p> <p data-bbox="345 1251 951 1283">GAO Approval                          Not Required</p>
2	<p data-bbox="345 1318 837 1350"><b>Routine Internal Investigation Files</b></p> <p data-bbox="345 1371 1154 1402">Disposition Authority Number      DAA-0568-2018-0001-0002</p> <p data-bbox="345 1428 1503 1650">These files contain records pertaining to administrative and criminal investigations conducted on U.S. Customs and Border Protection employees, contractors, and those in CBP custody. Included are the closing report on an investigation, sworn witness statements and transcripts of interviews. This item includes all internal investigation files except for those covered by the authority for Significant Internal Investigation Files.</p> <p data-bbox="345 1671 919 1703">Final Disposition                      Temporary</p> <p data-bbox="345 1724 849 1755">Item Status                              Active</p> <p data-bbox="345 1776 818 1808">Is this item media neutral?          Yes</p> <p data-bbox="345 1829 805 1892">Do any of the records covered by this item currently exist in</p>

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electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-36-92-1 / 2

**Disposition Instruction**

Cutoff Instruction Cut off at close of case.

Retention Period Destroy 25 year(s) after cutoff.

**Additional Information**

GAO Approval Not Required

**Significant Internal Investigation Files**

Disposition Authority Number DAA-0568-2018-0001-0003

Investigative files related to alleged violations of law, rule, regulation, or critical incidents involving death or serious injury. Investigations are carried out by OPR special agents and relate to agency personnel or operations, including those under contract. Significant internal investigative files include those pertaining to national security, sexual assaults or abuse of detainees in CBP custody, critical incidents involving death or serious injury, public corruption, standards of detainee care, deprivation of civil rights under the color of law, matters attracting substantial media or Congressional attention, and misconduct on the part of senior agency officials. Investigative files include, but are not limited to: complaints, written statements, photographs, video or audio recordings, correspondence, notes, and final reports of investigation.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-36-92-1 / 2 (2003-forward)

**Disposition Instruction**

Cutoff Instruction Cut off when case is closed or when all actions have been completed, whichever is later.

Transfer to the National Archives for Accessioning Transfer to the National Archives 20 year(s) after cutoff

### Additional Information

First year of records accumulation 2003

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2007

How frequently will your agency transfer these records to the National Archives? Every 5 Years

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### Prison Rape Elimination Act Allegation Tracking Records

Disposition Authority Number DAA-0568-2018-0001-0004

Prison Rape Elimination Act (PREA) allegation tracking records consist of sexual abuse incident review reports and incident-based sexual abuse data (as defined in 6 CFR 115.6) available to the Prevention of Sexual Assault (PSA) Coordinator (or subsequent position), including the number of reported allegations determined to be substantiated, unsubstantiated, or unfounded, or for which investigation is ongoing. For each incident found to be substantiated, information includes such information as is available to the PSA Coordinator concerning: (1) the date, time, location, and nature of the incident; (2) the demographic background of the victim and perpetrator (including citizenship age, gender, and whether either has self-identified a gay, lesbian, bisexual, transgender, intersex, or gender nonconforming); (3) the reporting timeline for the incident (including the name of the individual who reported the incident, and the date and time the report was received); (4) any injuries sustained by the victim; (5) post-report follow-up responses and actions taken by the agency (e.g., supervision, referral for medical or mental health services, etc.); and (6) any sanctions imposed on the perpetrator. Legal Citations: 42 USC 15601; 6 CFR § 115.186-115.189.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

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 at close of case or receipt of notification as applicable.

Retention Period Destroy 25 year(s) after cutoff.

### Additional Information

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GAO Approval **Not Required**

**Prison Rape Elimination Act Annual Reports**

Disposition Authority Number **DAA-0568-2018-0001-0005**

PREA Annual Reports are reports of the comparison of the current fiscal year's data and corrective actions taken with those from prior fiscal years with an assessment of CBP's progress in preventing, detecting, and responding to sexual abuse.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

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 upon submission of report.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 1 year(s) after the end of the last year of the block.**

**Additional Information**

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **From 2015 To 2019**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	4 MB	.8 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

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**Professional Responsibility Annual Reports**

Disposition Authority Number      **DAA-0568-2018-0001-0006**

These reports published on the CBP website provide an annual update of the functions of the Office of Professional Responsibility and its successors within Customs and Border Protection, and the condition of the agency with respect to misconduct and corruption. The purpose of the report is to increase transparency and awareness of CBP's efforts to prevent, detect, and investigate misconduct and corruption among CBP employees and to highlight examples of the breadth and depth of work OPR does on behalf of the entire CBP workforce.

Final Disposition                      **Permanent**

Item Status                              **Active**

Is this item media neutral?          **Yes**

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 upon final publication of report.**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives in 5 year blocks 5 year(s) after cutoff.**

**Additional Information**

First year of records accumulation      **2017**

What will be the date span of the initial transfer of records to the National Archives?      **From 2017 To 2021**

How frequently will your agency transfer these records to the National Archives?      **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper		
Microform		

Hardcopy or Analog Special Media		
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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
05/10/2018	Certify	Raymond Marbury	Program Manager	US Customs and Border Protection - Office of Administration
11/07/2018	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
03/20/2019	Submit For Certification	Amy James	Records Management Specialist	Office of Administration - Forms and Records
03/20/2019	Certify	Raymond Marbury	Program Manager	US Customs and Border Protection - Office of Administration
04/23/2019	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
06/11/2019	Submit For Certification	Amy James	Records Management Specialist	Office of Administration - Forms and Records
06/21/2019	Certify	Dawn Watts	CBP Chief Records Officer CRO	Customs and Border Protection - Customs and Border Protection
01/22/2020	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
05/20/2020	Submit For Certification	Kelsey Hall	Records Manager	Office of Information and Technology - Transformation and Support Management Division
05/22/2020	Certify	Dawn Watts	CBP Chief Records Officer CRO	Customs and Border Protection - Customs and Border Protection
10/30/2020	Return for Revision	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA

08/09/2021	Submit For Certification	Amy James	Senior Archivist and Records Manager	Office of Information and Technology - Records and Information Management Office
08/09/2021	Certify	Dawn Watts	CBP Chief Records Officer CRO	Customs and Border Protection - Customs and Border Protection
01/24/2022	Submit for Concurrence	Ashby Crowder	Archives Specialist	National Archives and Records Administration - ACRA
02/11/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/15/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/15/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist