

Request for Records Disposition Authority

Records Schedule Number DAA-0122-2020-0001

Schedule Status Approved

Agency or Establishment Federal Trade Commission

Record Group / Scheduling Group Records of the Federal Trade Commission

Records Schedule applies to Major Subdivision

Major Subdivision Office of the Inspector General

Schedule Subject Records of the Office of the Inspector General of the Federal Trade Commission

Internal agency concurrences will be provided No

Background Information The Federal Trade Commission (FTC) Office of the Inspector General (OIG) is an independent and objective oversight office within the agency, charged with protecting the integrity of agency programs and operations. Established in 1989, pursuant to the Inspector General Act of 1978 (as amended), the function of the FTC OIG is to:

- conduct and supervise audits, inspections, and investigations relating to FTC programs,
- detect and prevent waste, fraud and abuse,
- promote economy, efficiency, and effectiveness in the administration and management of FTC programs,
- review existing and proposed legislation and regulations and make appropriate recommendations,
- maintain effective working relationships with other federal, state and local governmental agencies, and non-governmental entities, regarding the mandated duties of the Inspector General,
- keep the FTC Chairman and Commissioners, and Congress fully informed of serious problems and deficiencies, and recommend, when appropriate, corrective actions and implementation measures; and
- report violations of law to the U.S. Attorney General.

Final audit and evaluation reports, as well as Peer Reviews and reports to Congress are available to the public on www.ftc.gov/oig.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items

11	3	8	0
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GAO Approval

Outline of Records Schedule Items for DAA-0122-2020-0001

Sequence Number	
1	Investigations
1.1	Investigation Case Files of Historical Value Disposition Authority Number: DAA-0122-2020-0001-0001
1.2	Investigation Case Files not of Historical Value Disposition Authority Number: DAA-0122-2020-0001-0002
2	Hotline and Other Complaints Disposition Authority Number: DAA-0122-2020-0001-0003
3	Audit, Inspection, and Evaluation Files Disposition Authority Number: DAA-0122-2020-0001-0004
4	Peer Reviews
4.1	Audit Peer Review Files Disposition Authority Number: DAA-0122-2020-0001-0005
4.2	Investigative Peer Review Files Disposition Authority Number: DAA-0122-2020-0001-0006
5	Policies and Procedures Disposition Authority Number: DAA-0122-2020-0001-0007
6	Semi-Annual Reports to Congress Disposition Authority Number: DAA-0122-2020-0001-0008
7	Letters and Correspondence Disposition Authority Number: DAA-0122-2020-0001-0009
8	Planning Files Disposition Authority Number: DAA-0122-2020-0001-0010
9	Management Challenges Reports Disposition Authority Number: DAA-0122-2020-0001-0011

Records Schedule Items

Sequence Number	
1	<p>Investigations Case files developed during investigations related to allegations of fraud and abuse by agency programs, employees, and contractors. Records include but are not limited to hotline complaints, complaints received through correspondence including email, research materials, referrals to or requests for participation from other agencies for handling, grand jury material, correspondence and attachments, audio and video recordings, any other records created and received during an investigation and used to create final reports, and the final reports.</p>
1.1	<p>Investigation Case Files of Historical Value</p> <p>Disposition Authority Number DAA-0122-2020-0001-0001</p> <p>Investigative files with historical value: those cases that attract public interest and/or substantial national or regional media attention; result in a Congressional investigation; involve Commissioners and senior level staff; result in substantive changes in FTC policies and procedures; or result in criminal conviction or civil remedy.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? No</p> <p>GRS or Superseded Authority Citation N1-122-09-001 / 3.5/A/1 in part N1-122-09-001 / 3.5/A/2 in part</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the fiscal year in which the case is closed.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 1989</p>

1.2

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 2005**

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

Investigation Case Files not of Historical Value

Disposition Authority Number **DAA-0122-2020-0001-0002**

Investigative files that do not meet the criteria of historical value as described in this records schedule.

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**

GRS or Superseded Authority Citation **N1-122-09-001 / 3.5/B in part**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which the case is closed.**

Retention Period **Destroy 10 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

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Hotline and Other Complaints

Disposition Authority Number **DAA-0122-2020-0001-0003**

Records consist of complaints received on the FTC hotline or by other means that may or may not result in a formal investigation, audit, inspection, or evaluation.

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**

	GRS or Superseded Authority Citation	N1-122-09-001 / 3.5/A/1 in part N1-122-09-001 / 3.5/B in part
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the complaint is received.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
3	Audit, Inspection, and Evaluation Files	
	Disposition Authority Number	DAA-0122-2020-0001-0004
	Project files of FTC OIG audits, inspections, and evaluations of agency and contractor programs and operations, and other review projects that assist management in identifying, analyzing, resolving program and organizational issues. Records include but are not limited to source and other deliberative materials, working files, audit resolution files, draft reports, and final reports.	
	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
	GRS or Superseded Authority Citation	N1-122-09-001 / 3.5/A/1 in part N1-122-09-001 / 3.5/B in part
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which the project is closed.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
4	Peer Reviews	
4.1	Audit Peer Review Files	
	Disposition Authority Number	DAA-0122-2020-0001-0005

Records, including checklists and copies of supporting documentation, such as policies and procedures, used to conduct peer reviews of the audit function of other OIGs or of the FTC OIG's audit function by another OIG and to create final reports.

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 the end of the fiscal year in which the review is closed.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

4.2

Investigative Peer Review Files

Disposition Authority Number DAA-0122-2020-0001-0006

Records, including checklists and copies of supporting documentation, such as policies and procedures, used to conduct peer reviews of the investigative function of other OIGs or of the FTC OIG's investigative function by another OIG and to create final reports.

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 the end of the fiscal year in which the review is closed.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

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Policies and Procedures

Disposition Authority Number **DAA-0122-2020-0001-0007**

Final policies and procedures for planning, directing, controlling, performing, and assessing OIG functions, including operations manuals, OIG policy bulletins, and standard operating procedures.

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**

GRS or Superseded Authority Citation **N1-122-09-01 / 3.5/C in part**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year in which the policy/procedure is superseded or cancelled.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 10 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 1989 To 2010**

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

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Semi-Annual Reports to Congress

Disposition Authority Number **DAA-0122-2020-0001-0008**

The OIG summarizes its activities during the six-month periods ending March 31 and September 30 of each year in a report submitted to Congress by the Commission. The report includes a description of significant problems, abuses, and deficiencies related to the administration of FTC programs and operations; audit recommendations for corrective action; matters referred to authorities and the results of those prosecutions; closed investigations; and statistical tables identifying the monetary benefits of the OIG's activities performed during the reporting period.

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
GRS or Superseded Authority Citation	N1-122-09-01 / 3.5/C in part
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the fiscal year in which the report is issued.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 10 year(s) after cutoff.
Additional Information	
First year of records accumulation	1989
What will be the date span of the initial transfer of records to the National Archives?	From 1989 To 2010
How frequently will your agency transfer these records to the National Archives?	Every 1 Years
Letters and Correspondence	
Disposition Authority Number	DAA-0122-2020-0001-0009
Official copy of incoming letters and correspondence, and outgoing letters and correspondence signed by the Inspector General or designee on various subject matters, including compliance with various federal statutes, data calls, and other matters.	
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 the end of each fiscal year.

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8	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Planning Files	
	Disposition Authority Number	DAA-0122-2020-0001-0010
	Plans for reviews of major program areas of the agency and OIG strategic plans.	
	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
	GRS or Superseded Authority Citation	N1-122-09-01 / 3.5/C in part
	Disposition Instruction	
Cutoff Instruction	Cut off at the end of each fiscal year.	
Retention Period	Destroy 10 year(s) after cutoff.	
9	Additional Information	
	GAO Approval	Not Required
	Management Challenges Reports	
	Disposition Authority Number	DAA-0122-2020-0001-0011
	Annual report and related documents that become part of the FTC annual Performance and Accountability Report, Agency Financial Report (AFR), or any other agency-wide report.	
	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 the end of the fiscal year in which the report is issued.

Retention Period	Destroy 10 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
07/14/2020	Certify	Yvonne Wilson	Records Officer	Federal Trade Commission - Federal Trade Commission
12/02/2020	Submit for Concurrency	Galen Wilson	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/04/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/07/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/07/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist