

Request for Records Disposition Authority

Records Schedule Number DAA-0420-2022-0002

Schedule Status Approved

Agency or Establishment Overseas Private Investment Corporation

Record Group / Scheduling Group Records of the United States International Development Finance Corporation

Records Schedule applies to Department-wide

Schedule Subject Office of Inspector General

Internal agency concurrences will be provided No

Background Information The Better Utilization of Investments Leading to Development (BUILD) Act of 2018 requires that the U.S. International Development Finance Corporation (DFC) have an Inspector General. In fulfilling its responsibilities, the Office of the Inspector General (OIG) provides independent oversight of DFC through audits, investigations and reviews of DFC's programs and operations.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
11	6	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0420-2022-0002

Sequence Number	
1	Investigations
1.1	Significant Investigations Disposition Authority Number: DAA-0420-2022-0002-0001
1.2	Routine Investigations Disposition Authority Number: DAA-0420-2022-0002-0002
1.3	Files Not Leading to a Formal Investigation Disposition Authority Number: DAA-0420-2022-0002-0003
2	Audit, Inspection, and Evaluation Files
2.1	Audit, Inspection and Evaluation Case Files Disposition Authority Number: DAA-0420-2022-0002-0004
2.2	Reports Disposition Authority Number: DAA-0420-2022-0002-0005
3	General Program Files
3.1	Policies Procedures, and Strategic Plans
3.1.1	Significant Policies, Procedures and Strategic Plans Disposition Authority Number: DAA-0420-2022-0002-0006
3.1.2	Standard Operational Procedures and Policies Disposition Authority Number: DAA-0420-2022-0002-0007
3.2	OIG Reports, Substantive Correspondence and Testimony to Congress Disposition Authority Number: DAA-0420-2022-0002-0008
3.3	Litigation Files and Legal Opinions Disposition Authority Number: DAA-0420-2022-0002-0009
3.4	OIG Congressional Briefing Files Disposition Authority Number: DAA-0420-2022-0002-0010
3.5	OIG Speeches and Press Releases Disposition Authority Number: DAA-0420-2022-0002-0011

Records Schedule Items

Sequence Number	
1	<p>Investigations The Office of the Inspector General conducts criminal and administrative investigations related to DFC’s programs and operations. Investigative case files are opened during investigations of known or alleged fraud, abuse, and irregularities and violations of laws and regulations. Files include investigative reports, correspondence, interviews, and related information collected and generated during an investigation.</p>
1.1	<p>Significant Investigations</p> <p>Disposition Authority Number DAA-0420-2022-0002-0001</p> <p>Records include cases resulting in substantial changes in agency policies, national media attention, and/or result in or are a response to Congressional interest. Records will include reports of investigation, interviews, and exhibits including copies or images of documents and evidence.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? No</p> <p>Explanation of limitation Digital only</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> <p>Cutoff Instruction Cut off at the end of the fiscal year in which the investigation 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 2020</p> <p>What will be the date span of the initial transfer of records to the National Archives? Unknown At this time, the agency has yet to close any significant investigation case files, therefore the date span cannot be determined.</p>

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

Routine Investigations

Disposition Authority Number **DAA-0420-2022-0002-0002**

Records of all other investigative case files containing information or allegations which warrant an open investigation. Records include reports, correspondence, and interviews. This includes files of complaints that are resolved without a full investigation

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Digital only**

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 **Cutoff at the end of the FY in which the investigation is closed.**

Retention Period **Destroy 7 year(s) after after cutoff**

Additional Information

GAO Approval **Not Required**

1.3

Files Not Leading to a Formal Investigation

Disposition Authority Number **DAA-0420-2022-0002-0003**

Preliminary files including Hotline Files containing general information, anonymous or vague allegations not warranting an investigation and support files providing general information that is collected to determine if an investigation is warranted.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Digital only

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 Cutoff at final determination not to open a formal inquiry or investigation.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

2

Audit, Inspection, and Evaluation Files

Files produced during audits, inspections, evaluations, and other reviews that assist management in identifying, analyzing, and resolving office and Agency issues. These include final reports and correspondence, resolution files, and work papers. Audits can include internal audits of programs and operations as well as peer review audits of other OIGs.

2.1

Audit, Inspection and Evaluation Case Files

Disposition Authority Number DAA-0420-2022-0002-0004

Case files of audits, inspections and evaluations of agency programs and operations. Records may include Audit reports and Management Advisories, correspondence, memoranda, and additional supporting materials.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Digital only

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

2.2

Cutoff Instruction Cutoff at the end of the calendar year.

Retention Period Destroy 7 year(s) after cutoff

Additional Information

GAO Approval Not Required

Reports

Disposition Authority Number DAA-0420-2022-0002-0005

Final reports of audits, evaluations, and inspections. These include recommendations and risk assessment reports. Reports to the Agency head that contain egregious and flagrant problems and/or abuses. The Agency head then transmits this reporting, along with comments by the Agency head, to Congress within seven days.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Digital only

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 Cutoff at end of fiscal year in which the report is published.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 2020

What will be the date span of the initial transfer of records to the National Archives? From 2020 To 2021

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 MB	1 MB
Paper		

Microform		
Hardcopy or Analog Special Media		

3

General Program Files

Records from the daily operations of the Office of the Inspector General. These include correspondence with members of Congress, standard operating procedures, and other background materials.

3.1

Policies Procedures, and Strategic Plans

3.1.1

Significant Policies, Procedures and Strategic Plans

Disposition Authority Number **DAA-0420-2022-0002-0006**

Significant policies, procedures and strategic plans that are presented to the Board of Directors

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Digital only**

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 when superseded or obsolete**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
At this time, the agency has yet to supersede or declare obsolete any significant policies, procedures, or strategic plans, therefore the date span cannot be determined.

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	.25 MB	.5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3.1.2

Standard Operational Procedures and Policies

Disposition Authority Number **DAA-0420-2022-0002-0007**

Approved policies, procedures, and strategic plans that document the processes for planning, controlling, and performing OIG functions. These include standard operating procedures and operations manuals.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Digital only**

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 when superseded or obsolete.**

Retention Period **Destroy 3 year(s) after cutoff**

Additional Information

GAO Approval **Not Required**

3.2

OIG Reports, Substantive Correspondence and Testimony to Congress

Disposition Authority Number **DAA-0420-2022-0002-0008**

This item includes reports, testimony and substantial correspondence with Congress detailing significant problems and deficiencies identified by the OIG, ongoing and completed audits and investigations, recommendations for future actions and strategic plans, and other issues of significant interest to the OIG or

Congress, or that generate significant media attention leading resulting in or from a Congressional inquiry.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Digital only

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

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2020 To 2021

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	2 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3.3

Litigation Files and Legal Opinions

Disposition Authority Number DAA-0420-2022-0002-0009

Files relating to Department of Justice criminal cases and civil False Claims Act cases and the enforcement of OIG subpoenas. Pleadings relating to subpoena enforcement matters. OIG legal opinions of OIG legal matters.

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Digital only

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 of final closing of the matter and any appeals.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2020 To 2020

How frequently will your agency transfer these records to the National Archives? Every 12 Months

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	.5 MB	1 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3.4

OIG Congressional Briefing Files

Disposition Authority Number DAA-0420-2022-0002-0010

Congressional testimony preparation for the oversight and appropriations committees and for hearings. Records include agendas for briefings, written testimony for hearings, and supporting documentation.

Final Disposition Temporary

3.5	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Digital only
	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 briefing is held.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	OIG Speeches and Press Releases	
	Disposition Authority Number	DAA-0420-2022-0002-0011
	Records of public speeches delivered by the Inspector General and Deputy Inspector General in venues other than Congress as well as information released by the Office of Inspector General to the public that reflects the official position of the Office of Inspector General of the U.S. International Development Finance Corporation.	
	Final Disposition	Permanent
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Digital only
	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 speech or public statement was delivered or published.	
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cutoff	
Additional Information		
First year of records accumulation	2020	

What will be the date span of the initial transfer of records to the National Archives? **From 2020 To 2021**

How frequently will your agency transfer these records to the National Archives? **Every 12 Months**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	.5 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

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
03/01/2022	Return to Submitter	Robin White	Senior Advisor	Office of Administration - RIM
03/10/2022	Certify	Keron White	Vice President and Chief Administrative Officer	Office of Administration - Office of Administration
09/28/2022	Return for Revision	Mark Sgambettera	Supervisory Archives Specialist	National Archives and Records Administration - Records Management Services/FOIA Staff
10/03/2022	Submit For Certification	Deborah Papadopoulos	Records Management Specialist	Office of Administration - RIM
10/04/2022	Certify	Keron White	Vice President and Chief Administrative Officer	Office of Administration - Office of Administration
12/14/2022	Submit for Concurrence	Mark Sgambettera	Supervisory Archives Specialist	National Archives and Records Administration - Records Management Services/FOIA Staff
01/04/2023	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/04/2023	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/11/2023	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office