

Request for Records Disposition Authority

Records Schedule Number DAA-0424-2020-0001

Schedule Status Approved

Agency or Establishment Consumer Product Safety Commission

Record Group / Scheduling Group Records of the Consumer Product Safety Commission

Records Schedule applies to Department-wide

Schedule Subject Office of the Inspector General

Internal agency concurrences will be provided Yes

Background Information CPSC's Office of Inspector General was established on April 9, 1989, in accordance with the Inspector General Act of 1978, as amended. This law gives the Inspector General the power to act independently: the Inspector General cannot be prevented from initiating, carrying out, or completing an audit or investigation, or from issuing any subpoena; has access to all records of the agency; reports directly to Congress; and can only be removed by a two-thirds vote of the Commissioners, who must communicate in writing the reasons for any such removal or transfer to both Houses of Congress, not later than 30 days before the removal or transfer.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
8	4	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0424-2020-0001

Sequence Number	
1	Policies, Directives, SOPs. Disposition Authority Number: DAA-0424-2020-0001-0001
2	Newsletters. Disposition Authority Number: DAA-0424-2020-0001-0002
3	Investigative Case Files
3.1	Investigative case files. a. Investigative files with significant historical value. Disposition Authority Number: DAA-0424-2020-0001-0003
3.2	Investigative Files. b. Investigative files without significant historical value Disposition Authority Number: DAA-0424-2020-0001-0004
3.3	Investigative Files. c. Hotline files Disposition Authority Number: DAA-0424-2020-0001-0005
4	Audits and Reviews
4.1	Audits and reviews. a. Final reports, audit resolution files, and other documents (exclusive of work papers) with significant historical value Disposition Authority Number: DAA-0424-2020-0001-0006
4.2	Audits and reviews. b. Final reports, audit resolution files, and other documents without significant historical value, and all work papers. Disposition Authority Number: DAA-0424-2020-0001-0007
5	Administrative Reports to the Public
5.1	Office of the Inspector General Reports Disposition Authority Number: DAA-0424-2020-0001-0008

Records Schedule Items

Sequence Number	
1	<p>Policies, Directives, SOPs.</p> <p>Disposition Authority Number DAA-0424-2020-0001-0001</p> <p>Internal policies, manuals, and SOPs pertaining to investigations, reviews, and audits that define and document the policies and procedures required for directing, controlling, and carrying out OIG operations.</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>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the fiscal year when published or superseded. Transfer to the National Archives 15 year(s) after cutoff.</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>What will be the date span of the initial transfer of records to the National Archives? From 1998 To 2007</p> <p>How frequently will your agency transfer these records to the National Archives? Every 2 Years</p>
2	<p>Newsletters.</p> <p>Disposition Authority Number DAA-0424-2020-0001-0002</p> <p>Records of OIG newsletters written for internal CPSC customers.</p> <p>Final Disposition Temporary</p>

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?	No

Disposition Instruction

Cutoff Instruction	Cutoff at the end of the calendar year when published.
Retention Period	Destroy 5 year(s) after cutoff

Additional Information

GAO Approval	Not Required
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Investigative Case Files

Investigative case files. a. Investigative files with significant historical value.

Disposition Authority Number	DAA-0424-2020-0001-0003
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Investigative files constitute the written agency record of investigative cases, including investigative reports and such related documents as correspondence and exhibits. The files are classified according to historical value. These records include, but are not limited to reports or case closing memoranda of investigation, and allegations of waste, fraud, abuse and mismanagement. This includes all investigative case files, including preliminary investigations, assessments and hotline files; statements; testimony; final case disposition; records of criminal, civil and administrative actions; incoming and outgoing correspondence, memoranda, and notes; and all other supporting documentation related to case files. a.

Investigative Files with significant historical value Includes cases that: may attract public interest and/or substantial national or regional media attention; result in a congressional investigation; may involve Commissioners; result in substantive changes to agency policy and procedures; or result in a criminal conviction, civil remedy, or administrative action.

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

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3.1

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

No

Disposition Instruction

Cutoff Instruction

Cut off at end of fiscal year in which report is issued or all recommendations are closed, whichever is later.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cut off.

Additional Information

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

From 1998 To 2007

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

Every 2 Years

3.2

Investigative Files. b. Investigative files without significant historical value

Disposition Authority Number

DAA-0424-2020-0001-0004

Investigative files constitute the written agency record of investigative cases, including investigative reports and such related documents as correspondence and exhibits. These records include, but are not limited to reports or case closing memoranda of investigation, and allegations of waste, fraud, abuse and mismanagement. This includes all investigative case files, including preliminary investigations, assessments and hotline files; statements; testimony; final case disposition; records of criminal, civil and administrative actions; incoming and outgoing correspondence, memoranda, and notes; and all other supporting documentation related to case files.

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?

Yes

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

No

Disposition Instruction

3.3	Cutoff Instruction	Cut off at end of fiscal year in which report is issued or all recommendations are closed, whichever is later.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Investigative Files. c. Hotline files	
	Disposition Authority Number	DAA-0424-2020-0001-0005
	Includes complaint trackers, complaints received by the OIG that required no further action, and correspondence sent regarding those complaints.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
4 4.1	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of the fiscal year in which complaint is closed.
	Retention Period	Destroy 5 year(s) after cut off
	Additional Information	
	GAO Approval	Not Required
	Audits and Reviews	
	Audits and reviews. a. Final reports, audit resolution files, and other documents (exclusive of work papers) with significant historical value	
	Disposition Authority Number	DAA-0424-2020-0001-0006
This includes documents that: attract substantial national or regional media attention; result in a congressional investigation; or result in substantive changes to policies and 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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of fiscal year in which all recommendations are closed.
	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 1998 To 2007
	How frequently will your agency transfer these records to the National Archives?	Every 2 Years
4.2	Audits and reviews. b. Final reports, audit resolution files, and other documents without significant historical value, and all work papers.	
	Disposition Authority Number	DAA-0424-2020-0001-0007
	Records related to OIG final audits, inspections, and reviews. The records include final reports, supporting documentation and work papers.	
	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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the fiscal year in which all recommendations are closed.

	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
5	Administrative Reports to the Public	
5.1	Office of the Inspector General Reports	
	Disposition Authority Number	DAA-0424-2020-0001-0008
	Includes Strategic Plan (on the website); OIG Audit Plan; Top Management challenges; Peer Reviews; Semiannual Report to Congress and related correspondence and other related documents used in the development of the reports.	
	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?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of fiscal year in which the report is issued.
	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 1998 To 2007
	How frequently will your agency transfer these records to the National Archives?	Every 2 Years

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
08/20/2020	Certify	Nina DiPadova	General Attorney	Division of the Secretariat - Office of General Counsel
01/27/2022	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/27/2022	Submit For Certification	Nina DiPadova	General Attorney	Division of the Secretariat - Office of General Counsel
01/27/2022	Certify	Nina DiPadova	General Attorney	Division of the Secretariat - Office of General Counsel
02/11/2022	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/14/2022	Submit For Certification	Nina DiPadova	General Attorney	Division of the Secretariat - Office of General Counsel
02/14/2022	Certify	Nina DiPadova	General Attorney	Division of the Secretariat - Office of General Counsel
04/22/2022	Submit for Concurrence	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/27/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/27/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration

				- National Records and Archives Administration
04/27/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist