

## Request for Records Disposition Authority

Records Schedule Number	DAA-0081-2020-0001
Schedule Status	Approved
Agency or Establishment	International Trade Commission
Record Group / Scheduling Group	Records of the U.S. International Trade Commission
Records Schedule applies to	Major Subdivision
Major Subdivision	Office of the Inspector General
Schedule Subject	Records of the USITC Office of Inspector General
Internal agency concurrences will be provided	No

**Background Information**

The U.S. International Trade Commission (USITC or Commission) is an independent, nonpartisan, quasi-judicial federal agency established by Congress with a range of trade-related mandates. The USITC's mission is threefold: to adjudicate whether: (1) dumped or subsidized imports injure a domestic industry; (2) surges of fairly traded imports injure a domestic industry; and (3) imports infringe a domestic intellectual property right or otherwise unfairly injure a domestic industry; to provide independent, objective, and timely analysis of trade and competitiveness issues to the President, the U.S. Trade Representative (USTR), and Congress; and to maintain the Harmonized Tariff Schedule of the United States. In doing so, the USITC serves the public by implementing U.S. law and contributing to the development and implementation of sound and informed U.S. trade policy.

The Office of the Inspector General (OIG) provides audit, evaluation, inspection, and investigative services covering all Commission programs and strategic operations. The mission of the OIG is to promote and preserve the effectiveness, efficiency, and integrity of the U.S. International Trade Commission.

This records schedule covers the recordkeeping copy of information created, maintained, and retained by the USITC/OIG. This schedule covers paper and electronic records in the OIG for past and current programs. This schedule authorizes the disposition of the recordkeeping copy in any media (media neutral), to enable USITC/OIG to manage records based on information content and not format.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
10	4	6	0

GAO Approval

## Outline of Records Schedule Items for DAA-0081-2020-0001

Sequence Number	
1	Investigative Files
1.1	Hotline/Referral Complaints without a Preliminary Inquiry Disposition Authority Number: DAA-0081-2020-0001-0001
1.2	Preliminary Inquiries without an Investigation Disposition Authority Number: DAA-0081-2020-0001-0002
1.3	Investigative Records without Historical Significance Disposition Authority Number: DAA-0081-2020-0001-0003
1.4	Investigative Records with Historical significance Disposition Authority Number: DAA-0081-2020-0001-0004
2	Audit Files
2.1	Audit Reports Disposition Authority Number: DAA-0081-2020-0001-0005
2.2	Audit Supporting Documentation Disposition Authority Number: DAA-0081-2020-0001-0006
3	Other Reports.
3.1	Semiannual Reports to Congress. Disposition Authority Number: DAA-0081-2020-0001-0007
3.2	Peer Review Reports Disposition Authority Number: DAA-0081-2020-0001-0008
3.3	Other Reports to Management Disposition Authority Number: DAA-0081-2020-0001-0009
3.4	Supporting Documentation for Other Reports. Disposition Authority Number: DAA-0081-2020-0001-0010

## Records Schedule Items

Sequence Number	
1	<p><b>Investigative Files</b> Files maintained by the Office of Inspector General related to its investigative work and can include complaints/allegations, assessment decisions, referrals, investigative plans, case files, final reports, and supporting evidence.</p>
1.1	<p><b>Hotline/Referral Complaints without a Preliminary Inquiry</b> Disposition Authority Number      <b>DAA-0081-2020-0001-0001</b></p> <p>Records of allegations that are false, immaterial, or do not meet the jurisdictional requirements of the Office of the Inspector General without further assessment. These records include allegations that may be under the jurisdiction of another agency or office and/or require no action on behalf of the USITC Office of Inspector General. These records contain only the initial complaint and may contain a referral to another office.</p> <p>Final Disposition                      <b>Temporary</b> Item Status                              <b>Active</b> Is this item media neutral?           <b>Yes</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></p> <p><b>Disposition Instruction</b> Cutoff Instruction                      <b>Cut off at the end of the fiscal year upon closure.</b> Retention Period                      <b>Destroy 3 year(s) after cutoff</b></p> <p><b>Additional Information</b> GAO Approval                          <b>Not Required</b></p>
1.2	<p><b>Preliminary Inquiries without an Investigation</b> Disposition Authority Number      <b>DAA-0081-2020-0001-0002</b></p> <p>Records of allegations that require further assessment through a preliminary inquiry, but after basic fact finding are found to be false, immaterial, or do not meet the jurisdictional requirements of the Office of Inspector General. These records contain both the initial complaint and a preliminary inquiry done by the investigator with a recommendation to the Inspector General of potential further action.</p> <p>Final Disposition                      <b>Temporary</b> Item Status                              <b>Active</b></p>

1.3	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.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Investigative Records without Historical Significance	
	Disposition Authority Number	DAA-0081-2020-0001-0003
	Records of allegations that, after further assessment through a preliminary inquiry, require a full investigation. These records contain the initial complaint, a preliminary inquiry, an investigative plan, and an investigative report. These records do not result in: I) public interest and/or substantial national or regional media attention; II) significant congressional action; or III) significant changes in USITC policies and procedures.	
1.4	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	N1-081-10-01/1/B
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year.
	Retention Period	Destroy 7 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
1.4	Investigative Records with Historical significance	
	Disposition Authority Number	DAA-0081-2020-0001-0004
	Records of allegations that, after further assessment through a preliminary inquiry, require a full investigation. These records contain the initial complaint,	

a preliminary inquiry, an investigative plan, and an investigative report. These records result in: I) public interest and/or substantial national or regional media attention; II) significant congressional action; or III) significant changes in USITC 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? No

GRS or Superseded Authority Citation N1-081-10-01/1/A

#### 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 20 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 1999

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	0.5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

Audit Files

2.1

Files maintained by the Office of Inspector General related to conducting audits of agency programs or operations and can include documentation of planning activities, work performed, supporting evidence, and reporting results.

### Audit Reports

Disposition Authority Number      **DAA-0081-2020-0001-0005**

Records are final audit reports created by the Office of Inspector General after conducting an audit of agency programs or operations.

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      **N1-081-10-01/2/A and N1-081-10-01/2/B**

### Disposition Instruction

Cutoff Instruction      **Cut off at the end of the fiscal year in which the audit closes.**

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

### Additional Information

First year of records accumulation      **2012**

What will be the date span of the initial transfer of records to the National Archives?      **Unknown**  
**No records have met retention yet.**

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	0.5 MB
Paper		
Microform		

	<b>Hardcopy or Analog Special Media</b>		
2.2	<p><b>Audit Supporting Documentation</b></p> <p>Disposition Authority Number      <b>DAA-0081-2020-0001-0006</b></p> <p>Substantive records created, obtained or generated as a result of conducting an audit. These records are necessary to understand the conclusions contained in the audit report.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>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></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at the end of the fiscal year.</b></p> <p>Retention Period                      <b>Destroy 6 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>		
3	<p><b>Other Reports.</b></p> <p>Reports and supporting documentation issued by the Office of the Inspector General that do not fall under the category of investigative or audit files.</p>		
3.1	<p><b>Semiannual Reports to Congress.</b></p> <p>Disposition Authority Number      <b>DAA-0081-2020-0001-0007</b></p> <p>Semiannual reports to Congress are required by law and provide a summary of all work done by the Office of Inspector General during the previous 6-month period.</p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>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></p> <p>GRS or Superseded Authority Citation      <b>N1-081-10-01/4/B</b></p>		



## 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

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 2004

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	0.5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3.2

## Peer Review Reports

Disposition Authority Number DAA-0081-2020-0001-0008

Peer review files document the conduct of peer review either of investigation units in other IG offices by USITC-OIG, or of the USITC-OIG's Investigations Office by another OIG. The objective of this peer review is to determine whether the internal quality control system is adequate as designed and complied with in all material aspects to provide reasonable assurance that applicable auditing standards, policies, and procedures are met.

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

3.3

GRS or Superseded Authority Citation N1-081-10-01/4/A

#### Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year.

Retention Period Destroy 6 year(s) after cutoff.

#### Additional Information

GAO Approval Not Required

#### Other Reports to Management

Disposition Authority Number DAA-0081-2020-0001-0009

Includes management challenges reports, strategic plans, and performance plans.

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 N1-081-10-01/4/B

#### 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

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 2004

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	50 MB	0.5 MB
Paper		

3.4

Microform		
Hardcopy or Analog Special Media		

#### Supporting Documentation for Other Reports.

Disposition Authority Number      **DAA-0081-2020-0001-0010**

Substantive records created, obtained, or generated as a result of providing other reports to management and are necessary to understand the conclusions contained in those reports. These other reports include top management challenges reports, strategic plans, and performance 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**

#### Disposition Instruction

Cutoff Instruction      **Cut off at the end of the fiscal year.**

Retention Period      **Destroy 6 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
10/16/2019	Certify	Gino Ables	Agency Records Officer	Office of the Chief Information Officer - Not Applicable
12/05/2019	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
12/16/2019	Submit For Certification	Gino Ables	Agency Records Officer	Office of the Chief Information Officer - Not Applicable
12/16/2019	Certify	Gino Ables	Agency Records Officer	Office of the Chief Information Officer - Not Applicable
01/14/2020	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
01/21/2020	Submit For Certification	Gino Ables	Agency Records Officer	Office of the Chief Information Officer - Not Applicable
01/21/2020	Certify	Gino Ables	Agency Records Officer	Office of the Chief Information Officer - Not Applicable
06/08/2020	Submit for Concurrence	Lauren VanZandt	Archivist Specialist	National Archives and Records Administration - ACR3, Appraisal Team 3
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration

				- National Records and Archives Administration
06/17/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist