

Request for Records Disposition Authority

Records Schedule Number **DAA-0059-2017-0002**
 Schedule Status **Approved**

Agency or Establishment **Department of State**
 Record Group / Scheduling Group **General Records of the Department of State**
 Records Schedule applies to **Major Subdivision**
 Major Subdivision **Office of Inspector General (OIG)**
 Schedule Subject **Records of the Office of Inspector General**
 Internal agency concurrences will be provided **No**

Background Information **Records containing information relating to the official activities of the Office of Inspector General in executing the mission programs of the Department of State and the U.S. Government to conduct independent audits, inspections, special inspections, evaluations, investigations, and Overseas Contingency Operations to promote economy and efficiency and to prevent and detect waste, fraud, abuse, and mismanagement in the programs and operations of the Department and the Broadcasting Board of Governors. These are the program records and other documentation related to, but not limited to, the activities, interests, plans, policies and responsibilities of the Office of Inspector General program functions.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	2	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0059-2017-0002

Sequence Number	
1	Principal Officers Subject Files Disposition Authority Number: DAA-0059-2017-0002-0001
2	Program Records Disposition Authority Number: DAA-0059-2017-0002-0002
3	Working Files Disposition Authority Number: DAA-0059-2017-0002-0003
4	Investigative Reports and Files Disposition Authority Number: DAA-0059-2017-0002-0004

Records Schedule Items

Sequence Number

1. **Principal Officers Subject Files**
Disposition Authority Number **DAA-0059-2017-0002-0001**
Records of the Inspector General, Deputy Inspector General, Counsel to the Inspector General, Senior Advisor, including relevant documentation facilitated by staff assistants, etc. in carrying out their duties. These records include, but are not limited to all incoming and outgoing correspondence relating to reports, special inquiries, compliance, congressional, including testimony (text and scripts); work papers; statements; decision papers, talking points; notes, including handwritten notes; meeting and briefing materials, background papers and material; including calendars, appointment books, schedules, logs, diaries and other records documenting meetings, appointments, telephone calls, and trips.
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 **Cutoff files at the end of incumbent tenure.**
Transfer to Inactive Storage **Retire to the Record Service Center (RSC) when 1 year old or sooner if no longer needed for business use.**
Transfer to the National Archives for Accessioning **Transfer to the National Archives when 25 years old.**
Additional Information
What will be the date span of the initial transfer of records to the National Archives? **From 2013 To 2017**
How frequently will your agency transfer these records to the National Archives? **Every 25 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		

Paper	12 Cubic feet	3 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Program Records

Disposition Authority Number **DAA-0059-2017-0002-0002**

Consists of Office of Inspector General final reports, including transmittal correspondence, pertaining to post or Bureaus and includes overseas contingency operations reports highlighting specific responsibilities and inspections, inspections concerning policy issues and management, political and economic functions and performance rating system, audits related to posts grants management, contracts and acquisition, evaluations complementing the work of OIG's other offices, special inquiry, memorandum reports, management alerts, and management assistant reports. Also included are corresponding compliance files of all supporting documentation to include, but not limited, to correspondence, responses to report recommendations for improvements.

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 **N1-059-88-19 / 4/A
NC-059-76-05 / 2/A
N1-059-88-28 / 1/A
N1-059-88-19 / 3/B
N1-059-88-19 / 4/B
N1-059-88-28 / 1/B**

Disposition Instruction

Cutoff Instruction **Cutoff files after final report has been issued or when compliance file has been closed.**

Transfer to Inactive Storage **Retire to the Record Service Center (RSC) when 1 year old or sooner if no longer needed for business use.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives (NARA) when 25 years old.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **From 2013 To 2017**

How frequently will your agency transfer these records to the National Archives? **Every 25 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	13 MB	3.25 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

3

Working Files

Disposition Authority Number **DAA-0059-2017-0002-0003**

These records consist of drafts, and supporting documentation and correspondence prepared by the Office of Inspector General of the work performed during an inspection, audit and evaluation, including Management Alerts, Management Assistance Reports, and Special Inquiry and Memoranda Reports. Excluded are investigative working 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? **No**

GRS or Superseded Authority Citation **N1-059-88-19 / 2/C
NC1-059-77-02 / 1
NC1-059-77-02 / 4
N1-059-88-19 / 1/A
N1-059-88-19 / 1/B
N1-059-88-19 / 1/C**

N1-059-88-19 / 4/D

Disposition Instruction

Cutoff Instruction

Cutoff after final report has been issued.

Retention Period

Destroy 7 years after cutoff, or when no longer needed for administrative, legal, or other operational purposes, whichever is later.

Additional Information

GAO Approval

Not Required

Investigative Reports and Files

Disposition Authority Number

DAA-0059-2017-0002-0004

These records include, but are not limited to reports or case closing memorandums of investigation, and allegations of waste, fraud, abuse and mismanagement. This includes all investigative case files, including preliminary investigations, "Z" files, 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. Excluded are management assistance 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

N1-059-88-19 / 5/A
N1-059-88-19 / 5/B
NC1-059-82-13 / 1/A
N1-059-88-19 / 6/B
NC1-059-82-13 / 1/C
NC1-059-82-13 / 1/D
NC1-059-82-13 / 1/E
NC1-059-82-13 / 2

Disposition Instruction

Cutoff Instruction

Retire 3 years after official file has been closed.

Retention Period

Destroy when 25 years old.

Additional Information

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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
02/09/2017	Certify	William Fischer	Agency Records Officer	Administration - A/GIS/IPS/RA
05/19/2017	Return for Revision	Meredith Scheiber	Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/23/2017	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
09/13/2017	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
11/27/2017	Return for Revision	Meredith Scheiber	Appraisal Archivist	National Archives and Records Administration - Records Management Services
12/19/2017	Submit For Certification	Shelia Prince	Records and Information Management Specialist	Bureau of Administration - A/GIS/IPS/RA
01/29/2018	Certify	Timothy Kootz	Agency Records Officer	Bureau of Administration - Records and Archives Management Division A GIS IPS RA
01/31/2018	Submit for Concurrence	Andrea Shahmohammadi	Appraisal Archivist	National Archives and Records Administration - Records Management Office
02/07/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

02/07/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/08/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist