

## Request for Records Disposition Authority

Records Schedule Number DAA-0398-2013-0001  
Schedule Status Modified Approved Version

Agency or Establishment Department of Transportation  
Record Group / Scheduling Group General Records of the Department of Transportation  
Records Schedule applies to Major Subdivision  
Major Subdivision Department of the Secretary of Transportation  
Minor Subdivision Office of Inspector General  
Schedule Subject Records Schedule for OIG  
Internal agency concurrences will be provided No

Background Information

The Office of Inspector General (OIG) was established by law in 1978 to provide the Secretary and Congress with independent and objective reviews of the efficiency and effectiveness of the Department of Transportation (DOT) operations and programs and to detect and prevent fraud, waste, and abuse. The Inspector General Act of 1978, as amended, requires the OIG to: (1) conduct independent and objective audits and investigations; (2) promote economy, efficiency, and effectiveness; (3) prevent and detect waste, fraud, and abuse; (4) review pending legislation and regulations; and (5) keep the Secretary and Congress fully and currently informed.

The OIG's Office of Auditing and Evaluation conducts audits and other reviews of DOT's transportation programs and activities to ensure they operate economically, efficiently, and effectively. OIG audits cover all of DOT's transportation sectors, from aviation, highways, railroads and mass transit, to motor carriers, maritime shipping, pipelines and transportation research. The Office of Investigations is comprised of criminal and general investigators who are responsible for conducting criminal, civil, and administrative investigations of fraud and a variety of other allegations affecting DOT, its operating administrations, programs, and grantees (grant funds). The Office of Investigations' top priorities involve crimes with a public safety impact, fraud schemes that significantly impact DOT funds, and employee integrity violations.

This schedule covers records of the Departmental Headquarters offices and the Regional field offices.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
27	8	19	0

GAO Approval

## Outline of Records Schedule Items for DAA-0398-2013-0001

Sequence Number	
1	Correspondence Files Disposition Authority Number: DAA-0398-2013-0001-0001
2	Schedule of Daily Activities Disposition Authority Number: DAA-0398-2013-0001-0002
3	Telephone Logs Disposition Authority Number: DAA-0398-2013-0001-0003
4	OIG Semiannual Reports to the Congress Disposition Authority Number: DAA-0398-2013-0001-0004
5	Speeches of the Inspector General Disposition Authority Number: DAA-0398-2013-0001-0005
6	Copies of Speeches of the Inspector General Disposition Authority Number: DAA-0398-2013-0001-0006
7	Testimonies of the Office of Inspector General Disposition Authority Number: DAA-0398-2013-0001-0007
8	Testimonies (Briefing Books) of the Office of Inspector General Disposition Authority Number: DAA-0398-2013-0001-0008
9	<b>DIRECTIVES FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0009
10	<b>BACKGROUND/CLEARANCE FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0010
11	<b>OIG ORGANIZATIONAL FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0011
12	<b>INVESTIGATIVE CASE FILES OF SIGNIFICANT VALUE</b> Disposition Authority Number: DAA-0398-2013-0001-0012
13	<b>INVESTIGATIVE CASE FILES NOT RELATING TO A SPECIFIC INVESTIGATION</b> Disposition Authority Number: DAA-0398-2013-0001-0013
14	<b>ALL OTHER INVESTIGATIVE CASE FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0014
15	<b>OIG HOTLINE FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0015
16	<b>AUDIT PROJECT FILES</b> Disposition Authority Number: DAA-0398-2013-0001-0016
17	<b>FINAL AUDIT REPORTS</b> Disposition Authority Number: DAA-0398-2013-0001-0017
18	<b>AUDIT PLANNING DOCUMENTS</b>

19	Disposition Authority Number: DAA-0398-2013-0001-0018 LITIGATION FILES Disposition Authority Number: DAA-0398-2013-0001-0019
20	LEGAL REVIEW FILES Disposition Authority Number: DAA-0398-2013-0001-0020
21	LEGAL WORKING PAPERS Disposition Authority Number: DAA-0398-2013-0001-0021
22	PUBLIC AND CONGRESSIONAL AFFAIRS AND CONTROLLED CORRESPONDANCE Disposition Authority Number: DAA-0398-2013-0001-0022
23	OIG PRESS RELEASES Disposition Authority Number: DAA-0398-2013-0001-0024
24	PEER REVIEW REPORTS OF THE OIG Disposition Authority Number: DAA-0398-2013-0001-0027
25	PEER REVIEW REPORTS OF OTHER AGENCIES Disposition Authority Number: DAA-0398-2013-0001-0028
26	QUALITY ASSURANCE REVIEWS Disposition Authority Number: DAA-0398-2013-0001-0029
27	DRAFTS OF OIG PRESS RELEASES Disposition Authority Number: DAA-0398-2013-0001-0031

## Records Schedule Items

Sequence Number	
1	<p><b>Correspondence Files</b></p> <p>Disposition Authority Number      <b>DAA-0398-2013-0001-0001</b></p> <p><b>Originals of incoming correspondence and memoranda with copies of replies from the Inspector General and Deputy Inspector General.</b></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>GRS or Superseded Authority Citation      <b>NC1-398-82-01 /5/A NC1-398-82-01 /5/B</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff annually by FY.</b></p> <p>Transfer to Inactive Storage          <b>Transfer to the Washington National Records Center 10 years after cutoff. Destroy 15 years after cutoff</b></p> <p>Retention Period                      <b>Destroy 15 year(s) after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>
2	<p><b>Schedule of Daily Activities</b></p> <p>Disposition Authority Number      <b>DAA-0398-2013-0001-0002</b></p> <p><b>Records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the Inspector General and the Deputy Inspector General.</b></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>

3	Cutoff Instruction	Cutoff when the official departs office. Destroy 3 years after cutoff.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	<b>Telephone Logs</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0003
	Telephone logs that document date, time, and caller of the Inspector General and the Deputy Inspector General.	
	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	
4	Disposition Instruction	
	Cutoff Instruction	Cutoff when the official departs office. Destroy 3 years after cutoff.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	<b>OIG Semiannual Reports to the Congress</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0004
	Record copy of reports prepared by the Office of Inspector General and submitted to Congress. The reports summarize the activities of the OIG for six-month periods ending March 31 and September 30.	
	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**

GRS or Superseded Authority Citation **NC1-398-82-01 / 10**

**Disposition Instruction**

Cutoff Instruction **Cutoff file upon transmission to Congress.**

Transfer to Inactive Storage **Transfer one copy of each report to the Washington National Records Center in 5 year blocks.**

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  
Beginning FY 2001 - 2005**

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

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

**Speeches of the Inspector General**

Disposition Authority Number **DAA-0398-2013-0001-0005**

**Master set of the Inspector General's speeches.**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in **No**

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electronic format(s) other than e-mail and word processing?

**Disposition Instruction**

Cutoff Instruction **Cut off after Calendar Year. Transfer to the Washington National Records Center in 5 year blocks after 10 years.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 20 year(s) after cut-off.**

**Additional Information**

First year of records accumulation **1998**

What will be the date span of the initial transfer of records to the National Archives? **From 1998 To 2008**

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

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

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**Copies of Speeches of the Inspector General**

Disposition Authority Number **DAA-0398-2013-0001-0006**

**Other Copies**

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**



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**Disposition Instruction**

Cutoff Instruction                      Destroy when no longer needed.  
Retention Period                        Destroy when no longer needed

**Additional Information**

GAO Approval                              Not Required

**Testimonies of the Office of Inspector General**

Disposition Authority Number        DAA-0398-2013-0001-0007

**Testimonies of OIG officials before Congress, including prepared statements and/or reports that are the official records of the testimonies.**

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 end of the fiscal year.  
Transfer to Inactive Storage            Transfer to Washington National Records Center 5 years after cutoff in 5 year blocks.  
Transfer to the National Archives for Accessioning    Transfer to the National Archives in 5 year blocks 15 year(s) after cut-off.

**Additional Information**

First year of records accumulation    1998  
What will be the date span of the initial transfer of records to the National Archives?                      From 1998 To 2008  
How frequently will your agency transfer these records to the National Archives?                      Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	.1 Cubic feet

Microform		
Hardcopy or Analog Special Media		

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**Testimonies (Briefing Books) of the Office of Inspector General**

Disposition Authority Number      **DAA-0398-2013-0001-0008**

**Testimony briefing books.**

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**

Retention Period                      **Destroy 3 year(s) after testimony.**

**Additional Information**

GAO Approval                          **Not Required**

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**DIRECTIVES FILES**

Disposition Authority Number      **DAA-0398-2013-0001-0009**

**Records of policy standards and technical guidance with related changes, including policies and procedures. These are internal OIG directives and only for OIG use..**

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?      **Yes**

GRS or Superseded Authority Citation      **NC1-398-82-01 / 4/A**

**Disposition Instruction**

Cutoff Instruction Cutoff end of fiscal year.  
 Transfer to Inactive Storage Transfer canceled or superseded directives to the Washington National Records Center after 5 years.  
 Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 15 year(s) after cut-off.

**Additional Information**

First year of records accumulation 2003  
 What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2013  
 How frequently will your agency transfer these records to the National Archives? Every 1 Years

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

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**BACKGROUND/CLEARANCE FILES**

Disposition Authority Number DAA-0398-2013-0001-0010

**Background/Clearance Files for Directives**

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 NC1-398-82-01 / 4/B

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**Disposition Instruction**

Retention Period Destroy 3 year(s) after directive issued.

**Additional Information**

GAO Approval Not Required

**OIG ORGANIZATIONAL FILES**

Disposition Authority Number DAA-0398-2013-0001-0011

Organizational charts regarding the office reporting structures and/or reports and studies relating to the reorganization of the OIG.

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 end of the calendar year

Transfer to Inactive Storage Transfer to the Washington National Records Center 5 years after cutoff.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 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 2007 To 2017

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	1 Cubic feet	.1 Cubic feet
Microform		

Hardcopy or Analog Special Media		
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**INVESTIGATIVE CASE FILES OF SIGNIFICANT VALUE**

Disposition Authority Number      **DAA-0398-2013-0001-0012**

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases related to agency personnel and programs and operations administered or financed by the agency including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. Investigative Case Files of Significant Value are case files that have attracted substantial national media attention, resulted in a Congressional investigation, or resulted in substantive changes in agency 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      **NI-398-00-001 / 1**

**Disposition Instruction**

Cutoff Instruction                      **Cutoff closed files at the end of the fiscal year.**

Transfer to Inactive Storage         **Transfer to a Federal Records Center 2 years after cutoff.**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives 25 year(s) after cut-off.**

**Additional Information**

First year of records accumulation      **2012**

What will be the date span of the initial transfer of records to the National Archives?      **From 2012 To 2022**

How frequently will your agency transfer these records to the National Archives?      **Unknown**  
**There are currently no significant case files selected.**

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### INVESTIGATIVE CASE FILES NOT RELATING TO A SPECIFIC INVESTIGATION

Disposition Authority Number      DAA-0398-2013-0001-0013

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases related to agency personnel and programs and operations administered or financed by the agency including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. Investigative Case Files Not Relating to a Specific Investigation Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information which may prove useful in OIG investigations.

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?      Yes

GRS or Superseded Authority Citation      N1-398-00-001 / 1/A

#### Disposition Instruction

Cutoff Instruction                      Cutoff files at end of fiscal year.

Retention Period                        Destroy 5 year(s) after cutoff

#### Additional Information

GAO Approval                            Not Required

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### ALL OTHER INVESTIGATIVE CASE FILES

Disposition Authority Number      DAA-0398-2013-0001-0014

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases related to agency personnel and programs and operations administered or financed by the agency including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. All other investigative case files except

those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.

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? Yes

GRS or Superseded Authority Citation N1-398-00-001 / 1/B

#### Disposition Instruction

Cutoff Instruction Cutoff closed files at the end of the fiscal year in which they were closed.

Retention Period Destroy 10 year(s) after cutoff

#### Additional Information

GAO Approval Not Required

#### OIG HOTLINE FILES

Disposition Authority Number DAA-0398-2013-0001-0015

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases related to agency personnel and programs and operations administered or financed by the agency including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers. These files are maintained in the OIG Headquarters office and contain the original complaint, resolution, and any correspondence relating to the complaint.

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

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	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-398-82-01 / 3
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cutoff closed files at the end of the fiscal year in which they were closed.
	Transfer to Inactive Storage	Transfer to a Federal Records Center 2 years after closure and completion of legal and administrative action.
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
16	<b>AUDIT PROJECT FILES</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0016
	<p>Audit project files and working paper files used in conducting independent and objective reviews of the efficiency and effectiveness of DOT operations and programs, and to detect and prevent fraud, waste, and abuse. Audit Project files of internal audits of agency programs, operations and procedures, and external audits of contractors and grantees. Consists of documentation for audit reports, correspondence, memoranda, and testimonies. Audit working paper files that contain background documentation on the audit project files. Substantial project work is filed with the audit project files.</p>	
	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?	Yes
	GRS or Superseded Authority Citation	N1-398-00-001 / 2/A N1-398-00-001 / 2/B
	<b>Disposition Instruction</b>	



17	Cutoff Instruction	Cutoff at the end of the fiscal year in which project is closed.
	Transfer to Inactive Storage	Transfer to a Federal Records Center 2 years after last recommendation has been closed.
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>FINAL AUDIT REPORTS</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0017
	<b>Final audit product after cross indexed, senior management review, and agency coordination.</b>	
	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?	Yes
	GRS or Superseded Authority Citation	NC1-398-00-001 / 2/A (in part)
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end if the fiscal year in which the report is completed.
	Transfer to Inactive Storage	Transfer to the Washington National Records Center in 5 year blocks.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 15 year(s) after	
<b>Additional Information</b>		
First year of records accumulation	1998	
What will be the date span of the initial transfer of records to the National Archives?	From 1998 To 2022	

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	34 Cubic feet	5 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**AUDIT PLANNING DOCUMENTS**

Disposition Authority Number **DAA-0398-2013-0001-0018**

**Strategic and Tactical Plans** and other office audit planning documents.

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? **Yes**

GRS or Superseded Authority Citation **NC1-398-82-01 / 9  
NC1-398-82-01 / 8**

**Disposition Instruction**

Cutoff Instruction **Cutoff files at the end of the fiscal year.**

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

**Additional Information**

GAO Approval **Not Required**

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**LITIGATION FILES**

Disposition Authority Number **DAA-0398-2013-0001-0019**

Litigation files related to an administrative complaint or litigation that has been threatened or filed in which OIG has a significant interest (e.g., litigation brought by OIG employees, litigation alleging wrongdoing by OIG employees, and enforcement of subpoenas), if not otherwise covered by the General Records Schedules. Records include pleadings, transcripts, evidence, discovery, communications, decisions, and settlements.

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 Cutoff files at the end of the calendar year in which there is a final decision with no appeal or appeal rights lapse with no appeal filed.

Transfer to Inactive Storage Transfer to the Washington National Records Center after 2 years.

Retention Period Destroy 10 year(s) after cutoff

#### Additional Information

GAO Approval Not Required

#### LEGAL REVIEW FILES

Disposition Authority Number DAA-0398-2013-0001-0020

Legal reviews of matters which have been assigned to the OIG Office of Legal, Legislative and External Affairs for primary responsibility for review, coordination, and response that are not audits or investigations. Records include source documents, final responses or recommendations.

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

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21	Cutoff Instruction	Cutoff files at the end of the calendar year the review is closed.
	Transfer to Inactive Storage	Transfer to the Washington National Records Center after 2 years
	Retention Period	Destroy 10 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
	<b>LEGAL WORKING PAPERS</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0021
	Files including copies of official files and draft reports that provide legal advice in support of audit, investigations, and operations.	
	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	
<b>Disposition Instruction</b>		
Cutoff Instruction	Cut-off when case, audit, etc, is closed.	
Retention Period	Destroy 3 year(s) after cut-off.	
<b>Additional Information</b>		
GAO Approval	Not Required	
22	<b>PUBLIC AND CONGRESSIONAL AFFAIRS AND CONTROLLED CORRESPONDANCE</b>	
	Disposition Authority Number	DAA-0398-2013-0001-0022
	Files relating to media relations, congressional liaising, and public relations. Written requests for information or prospective action directed to the Inspector General, generally from a government or public official. Written requests include correspondence, statutory mandates, or Congressional report language from members of Congress, the DOT Secretary and modal Administrators, senior officials from other Federal agencies, state and local governments, and certain nongovernmental organizations. Records include OIG acknowledgement letters and final response.	
	Final Disposition	Temporary
	Item Status	Active

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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			
<b>Disposition Instruction</b>				
Retention Period	Destroy 5 year(s) after final response			
<b>Additional Information</b>				
GAO Approval	Not Required			
<b>OIG PRESS RELEASES</b>				
Disposition Authority Number	DAA-0398-2013-0001-0024			
<b>OIG press releases issued by the OIG and not included in DOT Public Affairs press releases.</b>				
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			
<b>Disposition Instruction</b>				
Cutoff Instruction	Cutoff files at the end of the calendar year.			
Transfer to Inactive Storage	Transfer to Washington National Records Center 5 years after cutoff			
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 15 year(s) after cut-off.			
<b>Additional Information</b>				
First year of records accumulation	1998			
What will be the date span of the initial transfer of records to the National Archives?	From 1998 To 2022			
How frequently will your agency transfer these records to the National Archives?	Every 1 Years			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 25%;">Estimated Current Volume</td> <td style="width: 25%;">Annual Accumulation</td> </tr> </table>			Estimated Current Volume	Annual Accumulation
	Estimated Current Volume	Annual Accumulation		

Electronic/Digital		
Paper	5 Cubic feet	2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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**PEER REVIEW REPORTS OF THE OIG**

Disposition Authority Number      **DAA-0398-2013-0001-0027**

Files containing peer review reports, related correspondence, and peer review working papers. Externally prepared peer review reports of the OIG and files containing related OIG correspondence.

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**

Retention Period                      **Destroy 8 year(s) after the date of the report**

**Additional Information**

GAO Approval                          **Not Required**

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**PEER REVIEW REPORTS OF OTHER AGENCIES**

Disposition Authority Number      **DAA-0398-2013-0001-0028**

Internally prepared peer review reports of external agencies including related correspondence and working 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?      **No**

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Disposition Instruction

Retention Period Destroy after subsequent peer review is completed.  
NOTE: Subsequent reports are normally prepared by another agency.

Additional Information

GAO Approval Not Required

**QUALITY ASSURANCE REVIEWS**

Disposition Authority Number DAA-0398-2013-0001-0029

Files of internal reviews of DOT OIG programs, operations, and procedures including correspondence and memoranda.

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 Cutoff files at the end of the fiscal year.

Retention Period Destroy 8 year(s) after cutoff

Additional Information

GAO Approval Not Required

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**DRAFTS OF OIG PRESS RELEASES**

Disposition Authority Number DAA-0398-2013-0001-0031

Drafts of the OIG press releases, including OIG final press releases and press releases sent to other Federal agencies.

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

Retention Period	Destroy 3 year(s) after Press Release issued.
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
08/05/2013	Certify	Rebecca Sorrels	Support Services Specialist	Office of Inspector General - Procurement and Administrative Services
03/25/2015	Return for Revision	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
02/09/2016	Submit for Concurrence	Jim Cassedy	Appraiser	National Archives and Records Administration - Records Management Services
02/10/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/12/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
02/17/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist