

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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	DIRECTIVES FILES Disposition Authority Number: DAA-0398-2013-0001-0009
10	BACKGROUND/CLEARANCE FILES Disposition Authority Number: DAA-0398-2013-0001-0010
11	OIG ORGANIZATIONAL FILES Disposition Authority Number: DAA-0398-2013-0001-0011
12	INVESTIGATIVE CASE FILES OF SIGNIFICANT VALUE Disposition Authority Number: DAA-0398-2013-0001-0012
13	INVESTIGATIVE CASE FILES NOT RELATING TO A SPECIFIC INVESTIGATION Disposition Authority Number: DAA-0398-2013-0001-0013
14	ALL OTHER INVESTIGATIVE CASE FILES Disposition Authority Number: DAA-0398-2013-0001-0014
15	OIG HOTLINE FILES Disposition Authority Number: DAA-0398-2013-0001-0015
16	AUDIT PROJECT FILES Disposition Authority Number: DAA-0398-2013-0001-0016
17	FINAL AUDIT REPORTS Disposition Authority Number: DAA-0398-2013-0001-0017
18	AUDIT PLANNING DOCUMENTS

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 data-bbox="345 380 659 411">Correspondence Files</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0398-2013-0001-0001</p> <p data-bbox="345 485 1500 558">Originals of incoming correspondence and memoranda with copies of replies from the Inspector General and Deputy Inspector General.</p> <p data-bbox="345 579 919 611">Final Disposition Temporary</p> <p data-bbox="345 632 850 663">Item Status Active</p> <p data-bbox="345 684 818 716">Is this item media neutral? Yes</p> <p data-bbox="345 737 805 863">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 data-bbox="345 884 1049 957">GRS or Superseded Authority Citation NC1-398-82-01 /5/A NC1-398-82-01 /5/B</p> <p data-bbox="345 999 659 1031">Disposition Instruction</p> <p data-bbox="345 1052 1073 1083">Cutoff Instruction Cutoff annually by FY.</p> <p data-bbox="345 1104 1500 1178">Transfer to Inactive Storage Transfer to the Washington National Records Center 10 years after cutoff. Destroy 15 years after cutoff</p> <p data-bbox="345 1199 1192 1230">Retention Period Destroy 15 year(s) after cutoff.</p> <p data-bbox="345 1272 659 1304">Additional Information</p> <p data-bbox="345 1325 951 1356">GAO Approval Not Required</p>
2	<p data-bbox="345 1388 732 1419">Schedule of Daily Activities</p> <p data-bbox="345 1440 1154 1472">Disposition Authority Number DAA-0398-2013-0001-0002</p> <p data-bbox="345 1493 1468 1566">Records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the Inspector General and the Deputy Inspector General.</p> <p data-bbox="345 1587 919 1619">Final Disposition Temporary</p> <p data-bbox="345 1640 850 1671">Item Status Active</p> <p data-bbox="345 1692 818 1724">Is this item media neutral? Yes</p> <p data-bbox="345 1745 805 1871">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 data-bbox="345 1913 659 1944">Disposition Instruction</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
	Telephone Logs	
	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	
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	
4	OIG Semiannual Reports to the Congress	
	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		

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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**

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		

8

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**

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**

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.

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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
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OIG HOTLINE FILES

Disposition Authority Number	DAA-0398-2013-0001-0015
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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
Do any of the records covered by this item exist as structured electronic data?	Yes

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GRS or Superseded Authority Citation	NC1-398-82-01 / 3
Disposition Instruction	
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
Additional Information	
GAO Approval	Not Required

AUDIT PROJECT FILES

Disposition Authority Number DAA-0398-2013-0001-0016

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.

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
Disposition Instruction	
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.

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Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

FINAL AUDIT REPORTS

Disposition Authority Number DAA-0398-2013-0001-0017

Final audit product after cross indexed, senior management review, and agency coordination.

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)

Disposition Instruction

Cutoff Instruction Cut off at the end of 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

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 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**

20	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	
	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
Additional Information		
GAO Approval	Not Required	

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LEGAL WORKING PAPERS

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

Disposition Instruction

Cutoff Instruction Cut-off when case, audit, etc, is closed.

Retention Period Destroy 3 year(s) after cut-off.

Additional Information

GAO Approval Not Required

22

PUBLIC AND CONGRESSIONAL AFFAIRS AND CONTROLLED CORRESPONDANCE

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

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 5 year(s) after final response

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Additional Information

GAO Approval Not Required

OIG PRESS RELEASES

Disposition Authority Number DAA-0398-2013-0001-0024

OIG press releases issued by the OIG and not included in DOT Public Affairs press releases.

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 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.

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 2022

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	2 Cubic feet
Microform		

Hardcopy or Analog Special Media		
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24

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**

Disposition Instruction

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

Additional Information

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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

27

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