Schedule Number: N1-398-00-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Item 1a was superseded by DAA-0398-2013-0001-0013
Item 1b was superseded by DAA-0398-2013-0001-0014
Item 2a was superseded in part by DAA-0398-2013-0001-0016 and in part by DAA-0398-2013-0001-0017
Item 2b was superseded by DAA-0398-2013-0001-0016
Item 3a was superseded by GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)
Item 3b was superseded by GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)
REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
   DOT

2. MAJOR SUBDIVISION
   OST

3. MINOR SUBDIVISION
   OIG

4. NAME OF PERSON WITH WHOM TO CONFER
   Dottie Bowie

5. TELEPHONE
   (202) 366-6908

6. 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 on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required; or that notification to agency is attached; or that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, has been requested.

   DATE
   12-8-99

   SIGNATURE OF AGENCY REPRESENTATIVE
   LaVerne Ivey

   TITLE
   OST/TASC/OIG Records Management Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
   SEE ATTACHED PAGES

9. GRS OR SUPERSEDED JOB CITATION
   GRS-22
   NCI-398-82-1

10. ACTION TAKEN (NARA USE ONLY)

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)

Prescribed by NARA
36 CFR 1228
Department of Transportation
Office of Inspector General

Description and Disposition of Records

Investigative Case Files

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure. 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. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

1a. 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 Inspector General investigations.

Disposition: TEMPORARY. Destroy when 5 years old.

1b. All other investigative cases files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others.

Disposition: TEMPORARY. Place in inactive files when case is closed. Cutoff inactive file at the end of fiscal year. Destroy 10 years after cut off.

{NOTE: Significant cases, i.e., those that result in national media attention, Congressional investigations and/or substantive changes in agency policy or procedures are not covered by this item: The disposition of significant investigative files will be determined by NARA. Such files must be scheduled by submitting an SF115}

2a. Audit Case Files

Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consists of audit reports, correspondence, and memoranda.
Disposition: TEMPORARY. Cutoff case file at the end of the fiscal year in which case is closed. Destroy 8 years after cutoff.

2b. Audit Working Papers Files

Staff working paper files that contain background documentation on the audit case files. Substantial project work is filed with the audit case files.

Disposition: TEMPORARY. Cutoff at the end of the fiscal year in which case is closed. Destroy 2 years after cutoff.

3. Electronic mail and word processing system copies
   (a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

DELETE within 180 days after the recordkeeping copy has been produced.

(b) Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.

DELETE when dissemination, revision or updating is complete.

[Signature and date: OKAY, 2/3/00]