

29 May 82

REQUEST FOR RECORDS DISPOSAL AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO

NCI-398-82-1

DATE RECEIVED

March 29, 1982

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

6-15-82
Date

[Signature]
Archivist of the United States

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Transportation

2. MAJOR SUBDIVISION
Office of the Secretary

3. MINOR SUBDIVISION
Office of the Inspector General

4. NAME OF PERSON WITH WHOM TO CONFER
Ann Holladay

5. TEL EXT
755-4500

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE
3-17-82

D. SIGNATURE OF AGENCY REPRESENTATIVE
[Signature: Carol A. Sutton]
Carol A. Sutton

E. TITLE
OST Records Management Officer

7. ITEM NO

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. SAMPLE OR JOB NO

10. ACTION TAKEN

OFFICE OF INSPECTOR GENERAL

The Office of the Inspector General, in accordance with the Inspector General Act of 1978, directs an independent and objective organization whose purpose is to ascertain the need for, formulate and recommend Departmental policy plans and programs for audits and investigations and conduct and supervises audits and investigations in relation to programs of the Department. This schedule covers records of the Departmental Headquarters offices and the Regional field offices.

1. Investigative Case Files

Original copies of complaints, investigative correspondence, reports of investigation, records of official administrative or legal actions and related investigative documents. Only one official case file is maintained for each investigation conducted.

Two years after completion of legal or administrative action transfer to FRC.

FRC destroy when 10 years old.

NO MASS
DATA CHANGE

12 items

Extra copy to
SNC-D. 8-9-82
115-107
Extra copy
to (ONC)
8-6-82
[Signature]

all changes per C.S. of DOT & M.G.
of NARS 4/16/82
Copy to Agency
Closed Out: 6-21-82: K.T.D.

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. <u>Investigative Index Files</u></p> <p>These files contain OIG Form IG F 1600.4, Index and Control. They contain a reference to a subject (title) of a report of investigation, case control number, summary of facts, or a reference to other individuals or organizations in connection with an investigation.</p> <p>Destroy 20 years after creation of the index card.</p> <p>3. <u>OIG Hotline Files</u></p> <p>These files are maintained in the OIG Headquarters office and contain original complaint, resolution, and any correspondence relating to the complaint. Two years after completion of legal or administrative action transfer to FRC.</p> <p>FRC destroy when 10 years old.</p> <p>4. <u>Directive Files</u></p> <p>Records of audit function, policy standards and technical guidance with related changes, including operating procedures manual. (Original copy kept in OIG headquarters; these are internal OIG directives and only for OIG use) (Approx. 1 cu. ft. per year)</p> <p>After superseded or canceled Permanent. Offer to NARS when 10 years old. <i>see revised disposition p. 2A</i></p> <p>5. <u>General Administrative Files</u></p> <p>These records include all correspondence, memoranda and other documents which are general in nature and/or relate to the administrative operations of the OIG. These files are closed at the end of each Fiscal year.</p> <p>(a) When closed files are two years old separate those having administrative reference value. Transfer to FRC when two years old. FRC destroy when five years old.</p> <p>(b) All others. Destroy when two years old.</p>		

Request for Records Disposition Authority - Continuation

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2A

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
4.	<p><u>Directives Files</u></p> <p>a. Record set of directives</p> <p>Permanent. Transfer canceled or superseded directives to FRC when 5 years old. Offer to NARS in 10 year blocks when latest records are 10 years old.</p> <p>b. Directives background/clearance files</p> <p>When directive is canceled or superseded, place in inactive file. Destroy inactive file when 5 years old.</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>6. <u>Final Audit Reports</u></p> <p>Audit reports are considered closed when all final actions have been taken on observations reported.</p> <p>One copy of final report determined by the agency to having precedential significance concerning policy formulated (Headquarters office) Approved for 3 years.</p> <p>Transfer to NARS when 10 years old.</p> <p>One copy of final report having precedential significance and all other copies.</p> <p><i>Transfer to FRC when 3 years old. Destroy when 10 years old.</i></p> <p>7. <u>Audit Working Papers</u></p> <p>Working paper files are considered closed when all final actions have been taken on the related audit reports.</p> <p>Transfer to FRC three years after closed. FRC destroy when 10 years old.</p> <p>8. <u>Audit Survey Working Paper Files</u></p> <p>These files relate to an auditable entity rather than a particular audit.</p> <p>Destroy when obsolete or superseded.</p> <p>9. <u>Annual Audit Plans and Schedules</u></p> <p>Files containing approved annual audit plans and schedules with related records are considered closed at the end of the fiscal year or calendar year for which prepared.</p> <p>Destroy when three years old.</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
10.	Record set of Inspector General's semi-annual reports to Congress. Permanent. Transfer in 5 year blocks to FRC. Offer to NARS in 10 year blocks when latest records are 10 years old.		