

WITHDRAWN - RETURN WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0173-2015-0005

Request for Records Disposition Authority

Records Schedule Number DAA-0173-2015-0005
Schedule Status Returned Without Action

Agency or Establishment Federal Communications Commission
Record Group / Scheduling Group Records of the Federal Communications Commission
Records Schedule applies to Major Subdivision
Major Subdivision Office of Inspector General
Schedule Subject Various Office of Inspector General Records (Investigative Files,
Semi-Annual Reports, Annual Audit Plan, Audits)

Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

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Outline of Records Schedule Items for DAA-0173-2015-0005

Sequence Number	
1	Investigative Files Disposition Authority Number: DAA-0173-2015-0005-0001
2	Semi-Annual Reports Disposition Authority Number: DAA-0173-2015-0005-0002
3	Annual Audit Plan Disposition Authority Number: DAA-0173-2015-0005-0003
4	Audits Disposition Authority Number: DAA-0173-2015-0005-0004

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Records Schedule Items

Sequence Number	
1	<p data-bbox="370 410 613 442">Investigative Files</p> <p data-bbox="370 463 1143 495">Disposition Authority Number DAA-0173-2015-0005-0001</p> <p data-bbox="370 517 1508 1219">Investigative files may include: case files developed during investigations of known or alleged fraud, waste, and abuse or their irregularities or violations of law and regulations; case files related to programs and operations administered or financed by the Federal Communications Commission (FCC), including contractors and others doing business with the FCC; investigative files related to FCC hotline complaints, and other miscellaneous complaint files; and information on individuals, including present and former FCC employees, who are or have been the subject of general investigations conducted by the Office of Inspector General (OIG) relating to allegations raised pertaining to fraud, waste, and abuse with respect to programs and operations of the Commission. Files consist of investigative reports and related documents, which may include such information as correspondence, notes, attachments, and working papers. Case files of significant value because the case attracts substantial national media attention, results in a Congressional investigation, or results in substantive changes in agency policies and procedures. Disposition Authority N1-173-02-1 for "All other investigative files not deemed to be of significant value" and "Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation" remains the same. This change only relates to "Case files of significant value".</p> <p data-bbox="370 1240 927 1272">Final Disposition Permanent</p> <p data-bbox="370 1293 919 1325">Item Status Withdrawn</p> <p data-bbox="370 1347 829 1378">Is this item media neutral? Yes</p> <p data-bbox="370 1400 829 1517">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="370 1538 829 1623">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="370 1644 1045 1708">GRS or Superseded Authority Citation N1-173-07-2, item 1</p> <p data-bbox="370 1740 678 1772">Disposition Instruction</p> <p data-bbox="370 1793 1435 1825">Cutoff Instruction Cut off closed files at the end of each fiscal year.</p> <p data-bbox="370 1847 1419 1917">Transfer to Inactive Storage Retire paper documents five years after cutoff. Transfer to the National Archives 25 years after</p>

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cutoff. Note: This file contains FOIA and Privacy Act restrictions.

Transfer Electronic Records to the National Archives for Pre-Accessioning

Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 25 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown
The date span of the initial transfer of records is currently unknown.

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

Unknown
The transfer frequency to National Archives is currently unknown.

2

Semi-Annual Reports

Disposition Authority Number DAA-0173-2015-0005-0002

The Semi-Annual Report summarizes the activities of the OIG during the six-month periods ending March 31 and September 30. The report is submitted to Congress by the Chair. The report includes description of significant problems, abuses, and deficiencies relating to the administration of the FCC's programs and operation; audit recommendations for corrective action; matters referred to authorities and the results of those prosecutions; closed investigations; statistical tables demonstrating the dollar results of the OIG's internal program audits and contract audits performed during the reporting period.

Final Disposition Permanent

Item Status Withdrawn

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 N1-173-07-2, item 3

Disposition Instruction

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Cutoff Instruction	Cut off at the end of the fiscal year in which report is completed.
Transfer to Inactive Storage	Transfer paper records to the National Archives five years after cutoff.
Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after cutoff.
Transfer to the National Archives for Accessioning	Transfer to the National Archives 5 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?	Unknown The date span of the initial transfer of records is currently unknown.
How frequently will your agency transfer these records to the National Archives?	Unknown The transfer frequency to National Archives is currently unknown.

3

Annual Audit Plan

Disposition Authority Number DAA-0173-2015-0005-0003

The annual audit plan is a formal document outlining the audit workload and audit resources for the current fiscal year.

Final Disposition Permanent

Item Status Withdrawn

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 N1-173-07-2, item 5

Disposition Instruction

Cutoff Instruction Cut off at end of fiscal year. Transfer to the National Archives five years after cutoff.

Transfer to Inactive Storage Transfer to the National Archives five years after cutoff.

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Transfer Electronic Records to the National Archives for Pre-Accessioning

Transfer electronic records to the National Archives for pre-accessioning immediately after cutoff.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 5 year(s) after cutoff.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown
The date span of the initial transfer of records is currently unknown.

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

Unknown
The transfer frequency to National Archives is currently unknown.

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Audits

Disposition Authority Number DAA-0173-2015-0005-0004

Case files of audits which include evaluation of FCC programs and operations to determine whether or not information is reliable; resources have been safeguarded, funds have been expended in a manner consistent with related laws, regulations, and policies; resources have been managed economically and efficiently; addressed program results have been achieved. Audits may include the Commission's financial management program, program management processes (including the universal service fund), information systems, and contracting process. Files consist of audits reports, correspondence, memoranda, and supporting working papers. Case files may be created in paper format, electronically and using electronic workpapers software.

Final Disposition Temporary

Item Status Withdrawn

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 N1-173-07-2, item 2

Disposition Instruction

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Cutoff Instruction	Cut off files for which all audit recommendations are closed at the end of each fiscal year.
Transfer to Inactive Storage	Retire three years after cutoff. Destroy eight years after cutoff.
Retention Period	Destroy 8 year(s) after cutoff.
Additional Information	
GAO Approval	Not Required

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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
07/30/2015	Certify	Vanessa Lamb	Supervisory Program Analyst	Office of Managing Director - Performance Evaluation and Records Management
10/22/2015	Return for Revision	Ann Gillette	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/12/2016	Return Without Action	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services