

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0307-2016-0003**  
Schedule Status                **Approved**

Agency or Establishment      **National Science Foundation**  
Record Group / Scheduling Group   **Records of the National Science Foundation**  
Records Schedule applies to      **Major Subdivision**  
Major Subdivision                **Office of Inspector General**  
Schedule Subject                 **Office of Inspector General**  
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
17	4	13	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0307-2016-0003

Sequence Number	
1	<b>Office of Investigation Files</b>
1.1	<b>Investigative Case Files</b>
1.1.1	Investigative case files with significant historical value Disposition Authority Number: DAA-0307-2016-0003-0001
1.1.2	Investigative files (Paper) without significant historical value Disposition Authority Number: DAA-0307-2016-0003-0002
1.1.3	Investigative files (Electronic) without significant historical value Disposition Authority Number: DAA-0307-2016-0003-0003
1.2	Preliminary Files, Proactive Review Files, and Hotline Files Disposition Authority Number: DAA-0307-2016-0003-0004
1.3	Peer Review Files Disposition Authority Number: DAA-0307-2016-0003-0005
2	<b>Audit and Review Files</b>
2.1	Final reports, audit resolution files, and other documents, with significant historical value. Disposition Authority Number: DAA-0307-2016-0003-0006
2.2	Final reports, audit resolution files, work papers, risk analyses, and other documents, without significant historical value. Disposition Authority Number: DAA-0307-2016-0003-0007
2.3	Miscellaneous administrative information records within the office of audit. Disposition Authority Number: DAA-0307-2016-0003-0008
2.4	Miscellaneous project specific files maintained in the database Disposition Authority Number: DAA-0307-2016-0003-0009
2.5	Peer Review Files Disposition Authority Number: DAA-0307-2016-0003-0010
3	<b>Policy and Procedure Files</b>
3.1	Final OIG policies and procedures. Disposition Authority Number: DAA-0307-2016-0003-0011
3.2	Final OA policies and procedures. Disposition Authority Number: DAA-0307-2016-0003-0012
3.3	Final Office of Investigation (OI) policies and procedures Disposition Authority Number: DAA-0307-2016-0003-0013
4	<b>Miscellaneous Documents and Files</b>
4.1	Semiannual reports. Disposition Authority Number: DAA-0307-2016-0003-0014

4.2	<p>Management challenges reports, strategic plans, organizational performance plans, performance reports, and related correspondence without significant historical value. Disposition Authority Number: DAA-0307-2016-0003-0015</p>
4.3	<p>Administrative documents, correspondence, letters, memos, meeting minutes, and files not addressed in either the preceding sections or in a General Records Schedule. Disposition Authority Number: DAA-0307-2016-0003-0016</p>
5	<p>Electronic Systems Documents and Files</p>
5.1	<p>Electronic database applications</p>
5.1.1	<p>Electronic Data related to Case / Project Management and Tracking Disposition Authority Number: DAA-0307-2016-0003-0017</p>

## Records Schedule Items

Sequence Number	
1	<p><b>Office of Investigation Files</b> The Office of Investigations assesses and investigates allegations of misconduct in science, fraud, waste and abuse, and/or violations of laws and regulations. OI files include investigative case files, preliminary and Intake files, and Peer Review files.</p>
1.1	<p><b>Investigative Case Files</b> Investigative case files constitute the official agency record of investigative cases, and include investigative reports and such related materials as investigative plans, memoranda, correspondence in any medium, interview recordings and transcriptions, subpoenas and subsequent production; referrals to Audit, NSF management or appropriate U.S. Attorneys' offices, and associated legal documents related to criminal, civil, or administrative outcomes.</p>
1.1.1	<p><b>Investigative case files with significant historical value</b></p> <p>Disposition Authority Number      <b>DAA-0307-2016-0003-0001</b></p> <p>Investigations that: Attract substantial national or regional media attention, result in a congressional investigation, result in substantive changes in NSF policies and procedures; or result in a criminal conviction, civil remedy, or administrative action.</p> <p>Final Disposition                      <b>Permanent</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>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>NI-307-03-002 / 1/A/1</b></p> <p><b>Disposition Instruction</b></p> <p>If this item has multiple sections, indicate here records to which this section apply      <b>Electronic Records</b></p> <p>Cutoff Instruction                      <b>Cases are closed out when the investigation is complete and all results or outcomes are finalized.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives 15 year(s) after Cases are closed</b></p>

**Additional Information**

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

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

**Disposition Instruction**

If this item has multiple sections, indicate here records to which this section apply **Non-electronic Textual Records**

Cutoff Instruction **Cases are closed out when the investigation is complete and all results or outcomes are finalized.**

Transfer to Inactive Storage **Retain in OIG for 3 years after closeout, then transfer to DAS. DAS will retire to FRC for 12 years**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after Cases are closed**

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives? **From 1988 To 2002**

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

1.1.2

**Investigative files (Paper) without significant historical value**

Disposition Authority Number **DAA-0307-2016-0003-0002**

**Investigative files (Paper) without significant historical value**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Paper files for investigations initiated prior to October 1, 2015 which have not been converted to electronic format.**

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

1.1.3	electronic format(s) other than e-mail and word processing?	NI-307-03-002 / 1/A/2
	GRS or Superseded Authority Citation	
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cases are closed out when the investigation is complete and all results or outcomes are finalized.
	Transfer to Inactive Storage	Retain in OIG for 3 years after closeout, then transfer to NSF. NSF will retire to FRC.
	Retention Period	Destroy no sooner than 10 year(s) after Cases are closed but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
	Investigative files (Electronic) without significant historical value	
	Disposition Authority Number	DAA-0307-2016-0003-0003
	Investigative files (Electronic) without significant historical value	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Electronic Case Files created after October 1, 2015.
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cases are closed out when the investigation is complete and all results or outcomes are finalized.
	Retention Period	Destroy no sooner than 10 year(s) after Cases are closed but longer retention is authorized
	<b>Additional Information</b>	
	GAO Approval	Not Required
1.2	Preliminary Files, Proactive Review Files, and Hotline Files	
	Disposition Authority Number	DAA-0307-2016-0003-0004

These contain information or allegations that do not result in the creation of a formal investigative case file. They include anonymous or vague allegations that are deemed insufficient to warrant a formal investigation, matters referred to constituents or other agencies for handling, special projects, and reviews of fraud indicators and statistical trends in 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 N1-307-03-002 / 1/D

#### Disposition Instruction

Cutoff Instruction Closed when matter completed.

Retention Period Destroy no sooner than 2 year(s) after Files are closed but longer retention is authorized

#### Additional Information

GAO Approval Not Required

#### Peer Review Files

Disposition Authority Number DAA-0307-2016-0003-0005

Peer review files document the conduct of peer reviews either of investigations units in other IG offices by NSF OIG OI or of the NSF OIG's OI by another OIG. Peer reviews are performed and documented in 3-year cycles.

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 Close out files at the completion of the peer review and submission/receipt of final report.

1.3

	Retention Period	Destroy 6 year(s) after Files are closed
2	Additional Information	
	GAO Approval	Not Required
	Audit and Review Files	
	Files within the Office of Audit (OA) include files produced during audits, inspections, evaluations, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues.	
2.1	Final reports, audit resolution files, and other documents, with significant historical value.	
	Disposition Authority Number	DAA-0307-2016-0003-0006
	Examples of significant reports include any that: Attract substantial media attention; prompt a congressional investigation; or result in substantive changes in NSF 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?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-307-03-002 / 2/A
	Disposition Instruction	
	Cutoff Instruction	Close out audits, inspections, routine activities, and other reviews after the issuance of the final report. Close out audit resolution files upon final action.
	Transfer to Inactive Storage	Retain in OIG and transfer to DAS 7 years after final action. DAS will transfer to NARA 15 years after final action.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after Final Action
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	From 2008 To 2008

2.2	<p>How frequently will your agency transfer these records to the National Archives? <b>Every 1 Years</b></p>
	<p><b>Final reports, audit resolution files, work papers, risk analyses, and other documents, without significant historical value.</b></p>
	<p>Disposition Authority Number <b>DAA-0307-2016-0003-0007</b></p>
	<p><b>As stated above.</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>Yes</b></p>
	<p>Do any of the records covered by this item exist as structured electronic data? <b>Yes</b></p>
	<p>GRS or Superseded Authority Citation <b>N1-307-03-002 / 2/B</b></p>
	<p><b>Disposition Instruction</b></p>
	<p>Cutoff Instruction <b>Close out audits, inspections, and other reviews after the issuance of the final report. Close out audit resolution files upon final action.</b></p>
	<p>Retention Period <b>Destroy 7 year(s) after Final Action</b></p>
	<p><b>Additional Information</b></p>
	<p>GAO Approval <b>Not Required</b></p>
2.3	<p><b>Miscellaneous administrative information records within the office of audit.</b></p>
	<p>Disposition Authority Number <b>DAA-0307-2016-0003-0008</b></p>
	<p><b>Audit planning, tracking, workflow management, status of recommendations, continuing professional education for audit staff, and other administrative records.</b></p>
	<p>Final Disposition <b>Temporary</b></p>
	<p>Item Status <b>Active</b></p>
	<p>Is this item media neutral? <b>No</b></p>
	<p>Explanation of limitation <b>Any paper printouts from the system will be destroyed consistent with outputs under the GRS.</b></p>

	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Administrative information maintained in the database such as continuing professional education, training, and staff time delete from the database 5 years after creation or when no longer needed, whichever is later. NSF OIG staff responsible for the electronic system will be responsible for the timely deletion of these records. If limitations in the software prevent timely deletion, NSF OIG will maintain the administrative information in the database until the software is retired.
	Retention Period	Destroy 5 year(s) after creation or when no longer needed, whichever is later.
	<b>Additional Information</b>	
	GAO Approval	Not Required
2.4	Miscellaneous project specific files maintained in the database	
	Disposition Authority Number	DAA-0307-2016-0003-0009
	Audit, inspection, or evaluation files.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	No
	Explanation of limitation	Any paper printouts from the system will be destroyed consistent with outputs under the GRS.
	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
	<b>Disposition Instruction</b>	

2.5	<b>Cutoff Instruction</b>	Delete from the database 7 years after final action or when no longer needed, whichever is later.
	<b>Retention Period</b>	Destroy 7 year(s) after final action or when no longer needed, whichever is later.
	<b>Additional Information</b>	
	<b>GAO Approval</b>	Not Required
	<b>Peer Review Files</b>	
	<b>Disposition Authority Number</b>	DAA-0307-2016-0003-0010
	Peer review files document the conduct of peer reviews either of audit units in other IG offices by NSF OIG or of the NSF OIG's OA by another OIG. Peer reviews are performed and documented in 3-year cycles.	
	<b>Final Disposition</b>	Temporary
	<b>Item Status</b>	Active
	<b>Is this item media neutral?</b>	Yes
3	<b>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</b>	Yes
	<b>Do any of the records covered by this item exist as structured electronic data?</b>	Yes
	<b>Disposition Instruction</b>	
	<b>Cutoff Instruction</b>	Close out files at the completion of the peer review and submission/receipt of final report. Retain in OIG and destroy after seven years.
	<b>Retention Period</b>	Destroy 7 year(s) after Final Report
	<b>Additional Information</b>	
	<b>GAO Approval</b>	Not Required
	<b>Policy and Procedure Files</b>	
	These include all records that define or document the policies and procedures established for planning, directing, controlling, performing, and assessing OIG functions, including operations manuals, OIG policy bulletins, and standard operating procedures.	
	Final OIG policies and procedures.	
3.1	<b>Disposition Authority Number</b>	DAA-0307-2016-0003-0011
	<b>Final Disposition</b>	Temporary

	<b>Item Status</b>	<b>Active</b>
	<b>Is this item media neutral?</b>	<b>Yes</b>
	<b>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</b>	<b>Yes</b>
	<b>Do any of the records covered by this item exist as structured electronic data?</b>	<b>Yes</b>
	<b>GRS or Superseded Authority Citation</b>	<b>N1-307-03-002 / 3/A</b>
	<b>Disposition Instruction</b>	
	<b>Retention Period</b>	<b>Destroy 10 year(s) after superseded or obsolete</b>
	<b>Additional Information</b>	
	<b>GAO Approval</b>	<b>Not Required</b>
3.2	<b>Final OA policies and procedures.</b>	
	<b>Disposition Authority Number</b>	<b>DAA-0307-2016-0003-0012</b>
	<b>The records consist largely of technical manuals ("yellow books") relating to the conduct of audits.</b>	
	<b>Final Disposition</b>	<b>Temporary</b>
	<b>Item Status</b>	<b>Active</b>
	<b>Is this item media neutral?</b>	<b>Yes</b>
	<b>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</b>	<b>Yes</b>
	<b>Do any of the records covered by this item exist as structured electronic data?</b>	<b>No</b>
	<b>Disposition Instruction</b>	
	<b>Cutoff Instruction</b>	<b>Close when superseded or obsolete.</b>
	<b>Transfer to Inactive Storage</b>	<b>Retain in OIG for 5 years.</b>
	<b>Retention Period</b>	<b>Destroy 5 year(s) after Closure</b>
	<b>Additional Information</b>	
	<b>GAO Approval</b>	<b>Not Required</b>
3.3	<b>Final Office of Investigation (OI) policies and procedures</b>	

Disposition Authority Number DAA-0307-2016-0003-0013

The records relate to matters such as documenting interviews, collecting and handling evidence, the management of firearms, and referrals to the Department of Justice for possible prosecution.

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

#### Disposition Instruction

Cutoff Instruction Close when superseded or obsolete.

Transfer to Inactive Storage Retain in OIG for 30 years after closure, then transfer to NARA.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after Closure

#### Additional Information

What will be the date span of the initial transfer of records to the National Archives? From 2000 To 2000

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

4

#### Miscellaneous Documents and Files

This section covers documents and files generated by OIG that are not addressed in the preceding sections.

4.1

#### Semiannual reports.

Disposition Authority Number DAA-0307-2016-0003-0014

The semiannual reports to Congress have research value for providing an overview of OIG activities and a basic understanding of OIG operations.

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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Close out files at end of fiscal year.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after Closure
	<b>Additional Information</b>	
	What will be the date span of the initial transfer of records to the National Archives?	From 1988 To 2002
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years
4.2	<b>Management challenges reports, strategic plans, organizational performance plans, performance reports, and related correspondence without significant historical value.</b>	
	Disposition Authority Number	DAA-0307-2016-0003-0015
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	For any records not covered by guidelines established by NARA's General Records Schedules (GRS), destroy no later than 1 year after closeout.

4.3	<p><b>Retention Period</b> Destroy 1 year(s) after Closure</p> <p><b>Additional Information</b></p> <p><b>GAO Approval</b> Not Required</p> <p>Administrative documents, correspondence, letters, memos, meeting minutes, and files not addressed in either the preceding sections or in a General Records Schedule.</p> <p><b>Disposition Authority Number</b> DAA-0307-2016-0003-0016</p> <p><b>Final Disposition</b> Temporary</p> <p><b>Item Status</b> Active</p> <p><b>Is this item media neutral?</b> Yes</p> <p><b>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</b> Yes</p> <p><b>Do any of the records covered by this item exist as structured electronic data?</b> Yes</p> <p><b>GRS or Superseded Authority Citation</b> N1-307-03-002 / 4/B</p>
5	<p><b>Disposition Instruction</b></p> <p><b>Cutoff Instruction</b> Destroy 2 years after closeout or completion of the related matter or when no longer need whichever is longer.</p> <p><b>Retention Period</b> Destroy 2 year(s) after Closure</p> <p><b>Additional Information</b></p> <p><b>GAO Approval</b> Not Required</p> <p><b>Electronic Systems Documents and Files</b> These include the user/output files of office-productivity applications for creating communications and analysis (e.g., letters, spreadsheets, presentations, e-mails, databases, time maps, scanned images), database application files used for case management and tracking, and Web page files.</p>
5.1	<p><b>Electronic database applications</b> These are used for case management and internal administrative processes.</p>
5.1.1	<p><b>Electronic Data related to Case / Project Management and Tracking</b></p> <p><b>Disposition Authority Number</b> DAA-0307-2016-0003-0017</p> <p>This includes data entered and used by supervisors, investigators and auditors to record case/audit information for management and tracking purposes. Some of the</p>

information in the system may duplicate information kept in paper form elsewhere, but other information in the electronic system can be used as an information source apart from the related records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? No

Explanation of limitation Electronic Medium

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

Disposition Instruction

Cutoff Instruction Date of closure of the case, audit, FOIA, training, performance plan, outreach, or other matter to which the data pertains, or the date associated with the data item, or when no longer necessary for related cases, projects, or activities, whichever comes first.

Retention Period Destroy 25 year(s) after Closure

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
07/08/2016	Certify	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
08/02/2016	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/09/2016	Submit For Certification	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
08/09/2016	Certify	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
08/11/2016	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
08/16/2016	Submit For Certification	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
08/16/2016	Certify	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services

09/08/2016	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
09/08/2016	Submit For Certification	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
09/08/2016	Certify	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
11/15/2016	Return for Revision	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
12/13/2016	Submit For Certification	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
12/14/2016	Certify	Kris McFail	Head, Records and Information Management	Office of Information and Resource Management - Division of Administrative Services
12/21/2016	Submit for Concurrence	Carly Docca	Archives Specialist	National Archives and Records Administration - ACRA
12/23/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/23/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/06/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist