

## Request for Records Disposition Authority

Records Schedule Number           **DAA-0370-2015-0006**

Schedule Status                       **Approved**

  

Agency or Establishment           **National Oceanic and Atmospheric Administration**

Record Group / Scheduling Group   **Records of the National Oceanic and Atmospheric Administration**

Records Schedule applies to       **Agency-wide**

Schedule Subject                      **Audits and Investigation Case files**

Internal agency concurrences will be provided   **No**

Background Information           **The NOAA Office of Audits provides direction and guidance to NOAA offices on the development of responses to the Department of Commerce, (DOC), Office of Inspector General (OIG) and Government Accountability Office (GAO) regarding audits and investigations. In addition, the NOAA Office of Audits assists in negotiation and resolution of disputed findings and recommendations and ensures that responses to the OIG reflect the NOAA perspective. The Final Reports of Audits and Investigations are issued and maintained by the Department of Commerce (DOC), Office of the Inspector General; however the NOAA Office of Audits retains a copy of the Report of Findings, and background and supporting material accumulated to document the audit or investigation. NOAA Office of Audits follows the guidance, policies, manuals and operating procedures issued by the DOC, Office of Inspector General. The following records series are created and maintained by the Office of Audits to support its programmatic and recordkeeping responsibilities. The records series cited in this schedule are media neutral.**

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>6</b>	<b>0</b>	<b>6</b>	<b>0</b>

**GAO Approval**

## Outline of Records Schedule Items for DAA-0370-2015-0006

Sequence Number	
1	<b>Audit Case Files</b>
1.1	Records Maintained by NOAA Office of Audits Disposition Authority Number: DAA-0370-2015-0006-0001
1.2	Records Maintained by NOAA Line and Staff Offices Disposition Authority Number: DAA-0370-2015-0006-0002
2	<b>Inspector General Complaint Case files</b>
2.1	Records Maintained by NOAA Office of Audits Disposition Authority Number: DAA-0370-2015-0006-0003
2.2	Records Maintained by NOAA Line and Staff Offices Disposition Authority Number: DAA-0370-2015-0006-0004
3	<b>Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation</b>
3.1	Records Maintained by NOAA Office of Audits Disposition Authority Number: DAA-0370-2015-0006-0005
3.2	Records Maintained by NOAA Line and Staff Offices Disposition Authority Number: DAA-0370-2015-0006-0006

Records Schedule Items

Sequence Number					
1	<p><b>Audit Case Files</b> Case files of internal and external audits of agency programs, operations, and procedures, including contractors and grantees, containing audit reports, correspondences, memoranda, and supporting working papers.</p>				
1.1	<p><b>Records Maintained by NOAA Office of Audits</b></p> <p>Disposition Authority Number      <b>DAA-0370-2015-0006-0001</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> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>200-02a (1)</td> <td>Administrative and Housekeeping Records</td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-370-99-06</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of FY in which case is closed</b></p> <p>Retention Period                         <b>Destroy 8 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	200-02a (1)	Administrative and Housekeeping Records
Manual Citation	Manual Title				
200-02a (1)	Administrative and Housekeeping Records				
1.2	<p><b>Records Maintained by NOAA Line and Staff Offices</b></p> <p>Disposition Authority Number      <b>DAA-0370-2015-0006-0002</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>				

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

Manual Citation	Manual Title
200-02a(2)	Administrative and Housekeeping Records

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of FY**  
Retention Period **Destroy 8 year(s) after cut off**

**Additional Information**

GAO Approval **Not Required**

**Inspector General Complaint Case files**

Record documents NOAA Office of Audits investigations of allegations of known or alleged fraud and abuse, irregularities and violations of laws and regulations, mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety involving NOAA. These cases are initiated through a referral from the DOC, Office of Inspector General requesting the NOAA Office of Audits to investigate a specific matter. These cases may relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency. At the conclusion of the internal investigation, the NOAA Office of Audits responds to the DOC, Office of the Inspector General with a report of its finding. The NOAA Office of Audits retains a copy of the Report of Findings and internal investigative reports, correspondence, notes, attachments, and working papers which are collected or created to document their review, investigation of an activity or complaint. The NOAA program office that is the subject to the inquiry or allegation also establishes and maintains a record of the inquiry or allegation which may include, but not limited to, preliminary drafts, working files, meeting notes and other information supporting their review and response to the allegation.

**Records Maintained by NOAA Office of Audits**

Disposition Authority Number **DAA-0370-2015-0006-0003**  
Final Disposition **Temporary**  
Item Status **Active**  
Is this item media neutral? **Yes**  
Do any of the records covered by this item currently exist in **Yes**

2

2.1

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
200-02b(1)	Administrative and Housekeeping Records

**Disposition Instruction**

Cutoff Instruction **Cut off at the end FY in which case is closed**

Retention Period **Destroy 10 year(s) after cutoff or when no longer needed for research and investigative purposes occurs, whichever is later**

**Additional Information**

GAO Approval **Not Required**

**Records Maintained by NOAA Line and Staff Offices**

Disposition Authority Number **DAA-0370-2015-0006-0004**

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**

Manual Citation	Manual Title
200-02(b)2	Administrative and Housekeeping Records

**Disposition Instruction**

Cutoff Instruction **Cut off at the end FY in which case is closed**

Retention Period **Destroy 10 year(s) after cutoff or when no longer needed for research or investigative purposes occurs, whichever is later**

**Additional Information**

2.2

3

GAO Approval **Not Required**

**Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation**

**These records include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information that may prove useful in Inspector General Investigations.**

3.1

**Records Maintained by NOAA Office of Audits**

Disposition Authority Number **DAA-0370-2015-0006-0005**

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**

Manual Citation	Manual Title
200-02(c)1	Administrative and Housekeeping Records

**Disposition Instruction**

Cutoff Instruction **Cut off at the end FY in which case is closed**

Retention Period **Destroy 5 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

3.2

**Records Maintained by NOAA Line and Staff Offices**

Disposition Authority Number **DAA-0370-2015-0006-0006**

Final Disposition **Temporary**

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?

Manual Citation	Manual Title
200-2(c)2	Administrative and Housekeeping Records

**Disposition Instruction**

Cutoff Instruction                      Cut off at the end FY in which case is closed

Retention Period                        Destroy 5 year(s) after cutoff

**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
09/15/2015	Certify	Andre Sivels	Records Officer	Office of the Chief Administrators Office - Audits and Information Management
03/03/2016	Submit for Concurrence	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
03/03/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/03/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/04/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist