

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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Item 1a was superseded by DAA-0398-2013-0001-0013

Item 1b was superseded by DAA-0398-2013-0001-0014

Item 2a was superseded in part by DAA-0398-2013-0001-0016 and in part by DAA-0398-2013-0001-0017

Item 2b was superseded by DAA-0398-2013-0001-0016

Item 3a was superseded by GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)

Item 3b was superseded by GRS 5.1 item 020 (DAA-GRS-2016-0016-0002)

Date Reported: 5/12/2021

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

(See Instructions on reverse)

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

AVE BLANK (NARA use only)

JOE NUMBER

N1-398-00-1

DATE RECEIVED

12-8-99

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE _____

ARCHIVIST OF THE UNITED STATES

10-4-00	John W. Carl
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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.

XX

is not required;

114

is attached; or

11

has been requested.

DATE _____

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

12-2-99

LaVerne Ivey *LaVerne Ivey*

OST/TASC/OIG Records Management
Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9. GRS OR SUPERSEDED JOB CITATION

**10. ACTION
TAKEN (NARA
USE ONLY)**

SEE ATTACHED PAGES

GRS-22
NCI-398-82-1

Agency, NWMD, NR, NWML

ATTACHMENT

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.

*okay
Jotter Brown
JSH 8/3/00*