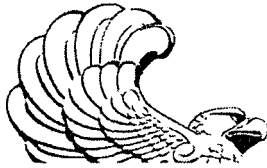


This document was requested and posted by AltGov2

www.altgov2.org/records-destruction-requests



NATIONAL
ARCHIVES

SW
7/9/18

Date: July 9, 2018
Appraiser: David Weber
Agency: Federal Maritime Commission
Subject: DAA-0358-2017-0003

INTRODUCTION

Schedule Overview This schedule applies to records of the Federal Maritime Commission (FMC) Office of Inspector General (OIG).

Other Background Information This schedule will apply to records in all media. Two items (items 4 and 5) were removed from the schedule and are not included in this appraisal because they did not require NARA approval. Significant case selections are approved by a Senior Executive Service employee in the OIG office. FMC has already identified existing significant cases in its current collection and will not screen any previously closed records.

Overall Recommendation

I recommend approval of this schedule.

APPRAISAL

Item 0001: Investigative Files (Non-Significant) containing reports, correspondence and evidence gathered during the course of the investigation.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

- *Does not document the significant actions of Federal Officials
- *Has little or no research value.
- *Electronic format does not significantly enhance research value

*Previously scheduled as temporary in N1-358-08-2 item 1

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

Item 0002: Investigative Case Files (Significant) documenting cases that attract public interest, national media attention, or result in substantive changes in FMC policy or procedures. Included are reports, correspondence, and evidence related to the case.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Documents the significant actions of Federal Officials

*Has potential research value.

*Similar cases at the General Services Administration are scheduled as permanent in DAA-0269-2015-0002, item 1

Adequacy of Proposed Transfer Instruction(s) Adequate

Media Neutrality: Approved

Item 0003: Hotline and Other Miscellaneous Files documenting action on information or allegations that do not result in the creation of a formal investigative file. They include anonymous or vague allegations, matters referred to other agencies, and files of general information not currently associated with an investigation..

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Does not document the significant actions of Federal Officials

*Has little or no research value.

*Electronic format does not significantly enhance research value

*Similar records are scheduled as temporary in DAA-0015-2013-0004, item 2

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

Item 0006: Audits, Inspections, and Evaluation Case Files (Significant): documenting cases that receive high levels of public media or Congressional interest, or result in significant changes to FMC policies or procedures. Records include reports, evaluations, background information, and audit resolutions.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Documents the significant actions of Federal Officials

*Has potential research value.

*Similar cases at the General Services Administration are scheduled as permanent in DAA-0269-2015-0002, item 1

Adequacy of Proposed Transfer Instruction(s) Adequate

Media Neutrality: Approved

Item 0007: Audits, Inspections, and Evaluation Files (Non-Significant) documenting routine cases that do not receive unusual attention or result in changes to policy or procedure. Records include reports, evaluations, background information and audit resolutions.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Does not document the significant actions of Federal Officials

*Has little or no research value.

*Electronic format does not significantly enhance research value

*Previously scheduled as temporary in N1-358-08-02 item 2

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

Item 0008: Investigative Peer Review Files summarizing the conduct of peer reviews of investigative units of other OIGs by the FMC OIG or of the FMC OIG by another OIG.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

- *Does not document the significant actions of Federal Officials
- *Has little or no research value.
- *Electronic format does not significantly enhance research value

Adequacy of Proposed Retention Period(s)

- *Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

Item 0009: Audit Peer Review Files summarizing the conduct of peer reviews of the audit function units of other OIGs by the FMC OIG or of the FMC OIG by another OIG.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

- *Does not document the significant actions of Federal Officials
- *Has little or no research value.
- *Electronic format does not significantly enhance research value

Adequacy of Proposed Retention Period(s)

- *Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

Item 0010: Final Policy and Procedures Files documenting policies and procedures for OIG functions and operations, including manuals, policy bulletins, and standard operating procedures.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Documents the significant actions of Federal Officials

*Has potential research value.

*Similar policy memoranda at the Department of Labor OIG are scheduled as permanent in N1-174-03-03, item 1

Adequacy of Proposed Transfer Instruction(s) Adequate

Media Neutrality: Approved

Item 0011: Semi-Annual Reports summarizing activities of the OIG, describing significant issues related to the administration of FMC operations and programs and proposing corrective action.

Proposed Disposition: Permanent

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Documents the significant actions of Federal Officials

*Has potential research value.

*Similar records are scheduled as permanent in N1-358-09-03, item 1

Adequacy of Proposed Transfer Instruction(s) Adequate

Media Neutrality: Approved

Item 0012: General Letters and Correspondence consisting of incoming and outgoing letters and correspondence regarding the operations of the OIG.

Proposed Disposition: Temporary

Appropriateness of Proposed Disposition: Appropriate

Appraisal Justification:

*Does not document the significant actions of Federal Officials

*Has little or no research value.

*Electronic format does not significantly enhance research value

*High level issues are captured in Final Policy and Procedures Files, item 10 of this schedule

Adequacy of Proposed Retention Period(s)

*Adequate from standpoint of legal rights and accountability

Media Neutrality: Approved

David
Weber

Digitally signed by David Weber
DN: cn=David Weber, o=National
Archives, ou=NARA,
email=david.weber@nara.gov, c=US
Date: 2018.08.13 04:42:18 -07'00'

DAVID WEBER

Appraiser