

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-307-03-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: **12/28/2022**

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-307-03-002/1/A/1 superseded by DAA-0307-2016-0003-0001

N1-307-03-002/1/A/2 superseded by DAA-0307-2016-0003-0002

N1-307-03-002/1/D superseded by DAA-0307-2016-0003-0004

N1-307-03-002/2/A superseded by DAA-0307-2016-0003-0006

N1-307-03-002/2/B superseded by DAA-0307-2016-0003-0007

N1-307-03-002/3/A superseded by DAA-0307-2016-0003-0011

N1-307-03-002/4/B superseded by DAA-0307-2016-0003-0016

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>71-307-03-2</i>	
TO: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>2-21-2003</i>	
1. FROM (Agency or establishment) National Science Foundation		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION OIRM			
3. MINOR SUBDIVISION Division of Administrative Services			
4. NAME OF PERSON WITH WHOM TO CONFER Christine Dozier	4. TELEPHONE NUMBER (703) 292-7531	DATE 9-11-03	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
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 3 page(s) are not needed now for the business for 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, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>2/19/03</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Christine Dozier</i>		TITLE <i>Head Property & Records Sec.</i>
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	SEE ATTACHED SHEET(S) FOR: Investigation Files	GRS 22	
2	Audit and Review Files	GRS 22	
3	Policy and Procedures Files	GRS 22	
4	All Remaining Paper Documents and Files	GRS 22	
5	Electronic Documents	GRS 20	
<i>cc Agency NR NAWMD NAWMD</i>			

OFFICE OF INSPECTOR GENERAL
NATIONAL SCIENCE FOUNDATION

OIG Bulletin No. 01-03

RECORD RETENTION POLICY

Purpose

To establish procedures for the retention and disposal of OIG files and records.

Background

To manage the storage and filing of the large volume of records produced in OIG efficiently, the office needs to have in place a policy to govern their retention, disposal, and, when necessary, recovery. In 1998, the National Archives and Records Administration (NARA) determined that the general records schedule for federal agencies was inadequate for OIG purposes. OIGs were requesting too many exceptions, and NARA was concerned that it did not have sufficient opportunity to determine which audit and investigative files should be permanent. As a result, each OIG must now establish and obtain NARA approval for its records disposition procedures. This policy sets forth those procedures for NSF OIG. NSF's Division of Administrative Services (DAS) manages the record retirement process for the Agency. The steps for retiring and retrieving records are found in Attachment A.

Procedures

1. Investigation files

These include case files developed during investigations of misconduct in science, fraud, waste and abuse, and/or violations of laws and regulations. These files may also be generated by cases involving NSF personnel, programs, and operations administered or financed by NSF, including contractors and anyone having a relationship with NSF. The files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files. They fall under five general categories:

- a. *Investigative Files (historically stored as Administrative, Misconduct, Conflict of Interests, Investigative, or Peer Review files)*. An investigative file is opened when the factual basis of a complaint or allegation is deemed to warrant a formal investigation. An investigative case may result in referral for criminal prosecution, civil adjudication, or administrative action. Investigative files constitute the written agency record of investigative cases, including investigative reports and such related documents as correspondence

and attachments. Peer review files document the conduct of peer reviews either of investigations units in other IG offices by NSF OIG or of the NSF OIG's Investigations Office by another OIG. The files are classified according to historical value:

- (i) *Investigative files with significant historical value, including cases 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.

DISPOSITION: Permanent records.

ACTION: Close out files annually. Retain in OIG for 3 years, then transfer to DAS. DAS will retire to the Federal Records Center (FRC) for 27 years, then transfer to NARA 30 years after closeout.

- (ii) *Investigative files without significant historical value.*

DISPOSITION: Temporary records.

ACTION: Close out files annually. Retain in OIG for 3 years, then transfer to DAS. DAS will retire to FRC for 4 years. FRC will destroy 7 years after closeout.

- b. *Original documents.* Documents produced in response to a subpoena, interview transcripts, other evidence collected during the course of the investigation. These contain information essential to the cases and should generally be kept with the file. If the documents are too voluminous to be kept in the jacket, they should be kept in redwells in the file room until the case is closed.

DISPOSITION: Same as the underlying investigative file in 1(a)(i) and 1(a)(ii) above.

ACTION: Close out once case has been closed. DAS will retire to the FRC using whichever disposition instruction (either 1(a)(i) or 1(a)(ii) above) is applicable to the corresponding investigative file. For documents too voluminous to be kept in the jacket, see *Attachment A* for instructions on retiring partial files.

- c. *Grand Jury File (6e).* Materials obtained by a jury under subpoena require special handling. These documents are segregated from the case file and kept under strict physical security while the case is open. Grand Jury materials

sent to the FRC will be labeled and boxed to ensure against inadvertent release without court approval.

DISPOSITION: Same as the underlying investigative file in 1(a)(i) and 1(a)(ii) above.

ACTION: Retain in segregated and locked location in OIG for 3 years after case is closed, then a person on the 6(e) list or the SAC retires to the FRC using whichever disposition instruction (either 1(a)(i) or 1(a)(ii) above) is applicable to the corresponding investigative file.

- d. *Zero Files, Miscellaneous Files, Preliminary (P-Case) Files, Suspense Files, Computer Hacking Files, Conflict of Interests Files, and Hotline Files.* These contain information or allegations of an investigative nature that do not result in the creation of a formal investigative file. They include anonymous or vague allegations that are deemed not to warrant 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.

DISPOSITION: Temporary records.

ACTION: Close out cases annually. Retain in OIG for 2 years, then transfer to DAS for destruction.

- e. *Working papers, drafts, notes, and background documents.* These contain information that either has been included in the final record keeping copy of an investigative case or is not necessary to understand the final disposition of an investigation.

DISPOSITION: Temporary records.

ACTION: Destroy at the time the investigative file is closed.

2. Audit and Review Files

These include files produced during audits, evaluations, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues.

- a. *Final reports, audit resolution files, and other documents (exclusive of workpapers) with significant historical value, including documents that:*
- Attract substantial national or regional media attention;
 - Result in a congressional investigation; or
 - Result in substantive changes in NSF policies and procedures.

DISPOSITION: Permanent records.

ACTION: Close out at the end of the following fiscal year. Retain in OIG for 5 years, then transfer to DAS. DAS will retire to FRC for 5 years, then transfer to NARA 10 years after closeout.

- b. Final reports, audit resolution files, and other documents without significant historical value, and all workpapers.*

DISPOSITION: Temporary records.

ACTION: Close out at the end of the following fiscal year. Retain in OIG for 5 years, then transfer to DAS. DAS will retire to FRC for 3 years. FRC will destroy 8 years after closeout. For documents too voluminous to be kept in the jacket, see *Attachment A* for instructions on retiring partial files.

3. Policy and Procedure Files

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.

- a. Final policies and procedures.*

DISPOSITION: Permanent records.

ACTION: Close when superseded or obsolete. Transfer to DAS. DAS will retire to FRC for 10 years, then transfer to NARA.

- b. Workpapers and background materials.*

DISPOSITION: Temporary records.

ACTION: Destroy no later than 1 year after issuance.

4. All Remaining Paper Documents and Files

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

STEPS FOR RECORD RETIREMENT AND RETRIEVAL

1. OIG notifies DAS when records are ready to be retired.
2. A DAS staff member with security clearance inspects box in OIG before removal.
3. OIG seals box, which is not opened again unless requested by OIG.
4. DAS provides interim storage in NSF Archives on the P-1 level pending pickup by the FRC.
5. All NSF records stored at the FRC (including OIG records) are under the control of NSF.
6. All requests for access to the records at the FRC must be made through DAS. No third party may gain access without approval from DAS.
7. The DAS Records and Retrieval System is an automated system that allows authorized users to request retrieval of a record by accession number for an individual file or by box number for the entire box.
 - The OIG Administrative Officer informs DAS who will be authorized access to the Records Retirement and Retrieval System.
8. If the box is in the NSF Archive, DAS retrieves the file or box.
9. If the box is at the FRC, DAS sends a request identifying the accession and box, but not the content of the record.
10. When the FRC notifies DAS that the records are ready for pickup, DAS sends a courier to transport them to DAS.
11. DAS notifies OIG that the requested file or box is ready for OIG pickup in DAS.

Retiring partial files. Normally, every effort should be made to retire a file in its entirety. However, in some cases, such as a voluminous file too large to store in OIG, we may need to send some records to FRC while retaining others for retirement at a later date. Partial files may be retired to FRC as long as OIG creates a record that links the portion that has already been retired to the remaining records when they are finally sent to FRC.

ACTION: (1) When initially retiring a partial file, enter on NSF Form 36 (*Request for Records Disposition and Index Lists*) Section II, a notation that it is a partial file for referenced case #XXX, folder #YYY. The Index List must also include a notation next to the case number that it is a partial file.

(2) When retiring the final portion of the file, enter a cross reference in Section II to note that it is linked to case #XXX, folder #YYY. Indicate the accession number of the previously retired files, the box number, and the location within the box. The Index List must also include a notation next to the case number referencing the folder numbers retired previously under the initial accession number.