

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>	
(See <i>Instructions</i> on reverse)	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON DC 20408	
1. FROM (Agency or establishment)	
U.S. Department of Agriculture	
2. MAJOR SUBDIVISION	
Office of the Secretary	
3. MINOR SUBDIVISION	
Office of the Inspector General	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
Janice H. Gaskins	202 720-6996

LEAVE BLANK (NARA use only)	
JOB NUMBER	
NI-016-00-3	
DATE RECEIVED	
03/31/00	
<b>NOTIFICATION TO AGENCY</b>	
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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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
10-17-01	<i>John W. Paul</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 4 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,

is not required;  is attached; or  has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
3/31/2000	<i>Elizabeth L. Behar, Ed.D.</i>	Departmental Records Officer

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>This request for records disposition authority addresses those Inspector General records previously covered under General Records Schedule 22 - Inspector General Records.</p> <p><i>schedule revised by the agency - see letter dated 7/9/2001 - rmc 7/12/01</i></p>		

## 1 INSPECTOR GENERAL (IG) INVESTIGATIVE CASE FILES

All investigation case files are arranged by alphabetical headquarters and regional designations and thereunder by case numbers.

Case files are developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files. This includes investigative files relating to employee and hotline complaints.

- a. Significant cases that attract national media attention resulting from Office of Inspector General investigations of alleged fraud, abuse, and irregularities and violations of laws and regulations; or result in a congressional investigation and/or in substantive changes in agency policies and procedures.

**PERMANENT.** Cut off closed files annually. Transfer to the National Archives of the United States 5 years after cutoff.

- b. All other investigative case files containing information or allegations which warrant a specific investigation and may result in prosecutive action.

- (1) Office of Inspector General.

**Cut off files upon close of case. Destroy 10 years after cutoff.**

- (2) All other staff offices and agencies.

**Cut off files upon close of case. Destroy 10 years after cutoff.**

- c. All other investigative case files containing information or allegations which warrant a specific investigation and may result in administrative action.

- (1) Office of Inspector General.

**Cut off files upon close of case. Destroy 10 years after cutoff.**

- (2) All other staff offices and agencies.

**Cut off files upon close of case. Destroy 10 years after cutoff.**

- d. All other investigative case files containing information or allegations which warrant a specific investigation but result in no prosecutive or administrative action.

- (1) Office of Inspector General.

**Cut off files upon close of case. Destroy 5 years after cutoff.**

- (2) All other staff offices and agencies.

**Cut off files upon close of case. Destroy 5 years after cutoff.**

- e. Files containing information or allegations which did not warrant a specific investigation. They include anonymous or vague allegations, matters referred to constituents or other agencies for handling, and support files providing general information.

- (1) Office of Inspector General.

**Cut off files upon close of case. Destroy 5 years after cutoff.**

- (2) All other staff offices or agencies.

**Cut off files upon close of case. Destroy 5 years after cutoff.**

- f. Electronic mail and word processing records.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.

- (1) Copies of records covered by sub-items 1a-1e 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.

**Destroy/delete within 180 days after the recordkeeping copy has been produced.**

- (2) Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

**Destroy/delete when disseminating, revising, or updating is completed.**

## **2 INSPECTOR GENERAL AUDIT AND EVALUATION CASE FILES**

- a. Audits that have historical value with respect to the agency's programs and operations or include a highly specialized audit function and the report documents the effectiveness of the agency's programs and operations to the degree that the report should be permanently preserved while disposing of the remaining records as well as working files.

- (1) Record copy of final reports (Office of Inspector General).

**PERMANENT. Cut off at the end of the fiscal year in which issued. Transfer to the National Archives of the United States when the most recent report is 5 years old.**

- (2) Other records created or acquired during the course of the audit and the development of the final report, including notes and other working files.

**Destroy 8 years after the end of the fiscal year in which the final evaluation report is closed.**

- b. Case files of audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.
  - (1) Office of Inspector General.

**Destroy 5 years after the end of the fiscal year in which the report is closed.**
  - (2) All other staff offices or agencies.

**Destroy 5 years after the end of the fiscal year in which the report is closed or when no longer needed, whichever comes first.**
- c. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.
  - (1) Copies of records covered by subitems 2a and 2b 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 procure the recordkeeping copy.

**Destroy/delete within 180 days after the recordkeeping copy has been produced.**
  - (2) Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

**Destroy/delete within 180 days after the recordkeeping copy has been produced.**

### 3 INSPECTOR GENERAL INSPECTION FILES

- a. Case files for recurring OIG program evaluations that assist management in identifying, analyzing, and resolving internal OIG program and organization performance/policy issues, studies of specific concern, and internal operations study initiatives designed to achieve organizational implementation.

**Destroy 5 years after the end of the fiscal year in which the final evaluation report is issued.**
- b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.
  - (1) Copies of records covered by subitem 3a 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 procure the recordkeeping copy.

**Destroy/delete within 180 days after the recordkeeping copy has been produced.**

- (2) Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.

**Destroy/delete when disseminating, revising, or updating is completed.**

REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION		JOB NUMBER	PAGE
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
3	<p><b><u>INSPECTION FILES</u></b></p> <p>a. Case files for recurring OIG program evaluations that assist management in identifying, analyzing, and resolving internal OIG program and organization performance/policy issues, studies of specific concern, and internal operations study initiatives designed to achieve organizational implementation.</p> <p><b>Destroy 5 years after the end of the fiscal year in which the final evaluation report is issued.</b></p> <p>b. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by this item. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revising, or disseminating.</p> <p>(1) Copies of records covered by subitem 3a 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 procure the recordkeeping copy.</p> <p><b>Destroy/delete within 180 days after the recordkeeping copy has been produced.</b></p> <p>(2) Copies used for disseminating, revising, or updating that are maintained in addition to the recordkeeping copy.</p> <p><b>Destroy/delete when disseminating, revising, or updating is completed.</b></p>		