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| REQUEST FOR RECORDS DISPOSITION AUTHORITY | JOB NUMBER <i>NI-462-00-1</i> |
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| To: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20409 | DATE RECEIVED <i>9/21/2000</i> |
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| 1. FROM (Agency or establishment) United States Department of Agriculture (USDA) | 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 Adisposition not approved or Awithdrawn in column 10. |
| 2. MAJOR SUBDIVISION Food Safety and Inspection Service | |
| 3. MINOR SUBDIVISION Administrative Services Division | |

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| 4. NAME OF PERSON WITH WHOM TO CONFER Vernie M. McLendon | 5. TELEPHONE (301) 504-4215 | DATE 8-3-01 | ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i> |
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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 1 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.

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| DATE <i>9/18/00</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>Bonnie Byrd</i> | TITLE Chief, Paperwork Management Branch |
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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 GRS OR SUPERSEDED JOB CITATION | 10.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) |
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| | <p>The Office of Inspector General (OIG) files includes records of audits and investigations conducted by the USDA OIG office. USDA Agencies maintain other related OIG records created in addition to and resulting from the investigations and audits conducted by the USDA OIG office.</p> <p>This disposal Schedule covers records of the Department of Agriculture, Food Safety Inspection Service (FSIS), Office of Management, Internal Control Staff (ICS) and pertains to Office of Inspector General (OIG) Investigative Records, OIG Audit Files, and additional records created by the ICS. These records consist of paper hard copy, electronic, and other media filed within FSIS offices. This schedule supersedes GRS 22 that was withdrawn by the National Archives and Records Administration.</p> | | |

Superseded by GRS 22 - 12/20/00 - 12/20/00

1. **OIG Investigative Records**

- a) **Historically significant and attract media attention** at the national level, include severe allegations against senior level officials, result in Congressional investigation or result in drastic change in agency operating procedure and policy.

Record copy - Permanent. Submit to National Archives of the United States when 20 years old.

- b) **Investigative case files of Agency Program and mission activities** and regulations in protecting and insuring the safety and wholesomeness of the nation's meat, poultry, and egg products.

Record copy. Cut off files annually. Destroy when 10 years old.

- c) **Investigative case file of an administrative nature** on allegations of alleged fraud and abuse, and misuse of government property or services and not involving program mission activities of enforcement of Meat and poultry regulatory statutes

Record Copy. Cut off annually. Destroy when 7 years old.

- d) **Case file and working papers on allegations of waste, fraud, and abuse, and misuse of government services that do not result in an investigation.**

Record Copy. Cut off annually. Destroy when 5 years old.

- e) **Electronic mail and word processing records.** Electronic copies of records created by electronic mail and word processing systems and used exclusively to produce and generate recordkeeping copy of records included in this item. It also includes items created on electronic and word processing systems maintained for updating, revision, and dissemination.

- 1) Records covered under items a-d having no administrative value after recordkeeping (hard copy) is created. To includes copies maintained by employees in personal files, personal electronic mail directories, or other directories on hard disk or network drive, and on shared network drive used only to produce the record keeping copy.

Delete when 180 days old and after the record keeping copy is produced.

- 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Delete when information dispersed or revision or update is completed.

2. **OIG AUDIT FILES.** Case file for program evaluations of agency activities on meat, poultry, and egg products inspection to help management identify, analyze, and determine program and organization performance or policy study in areas of particular agency concern, and internal study initiatives designed to

achieve management improvement. During the evaluation, work files that include questionnaires, rough drafts, and other correspondence used in preparing final recommendations and reports. The case file includes a final report and working files on the completion of each study or evaluation.

a) Final Reports

- 1) Final reports on OIG audits that document and examine agency program activities and recommend extreme change in agency policy or of a national or controversial issue.

Permanent. Cut off at the end of fiscal year issued. Transfer to the national Archives when most recent report is 15 years old.

- 2) Other OIG audit files not considered of a serious nature to warrant permanent retention.

Cut off at the end of year. Destroy 8 years after the end of the FY in which the final report is issued.

b) Working papers and notes records created in the course of the audit and evolution of final report.

Cut off at end of Year. Destroy when 5 years old.

c) Electronic mail and work processing records. Electronic copies of records created by electronic mail and word processing systems and used exclusively to produce and generate recordkeeping copy of records included in this item. It also includes items created on electronic and word processing systems maintained for updating, revision, and dissemination.

- 1) Records covered under items a-b having no administrative value after recordkeeping (hard copy) is created. To include copies maintained by employees in personal files, personal electronic mail directories, or other directories on hard disk or network drive, and on shared network drive used only to produce the record keeping copy.

Delete when 180 days old and after the record keeping copy is produced.

- 2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Delete when information dispersed or revision or update is completed.

3. Tracking System – Administrative electronic tracking system maintained on word-processing or spreadsheet software loaded on a computer to ensure completion and timeliness of submission of OIG reports, including schedules of paperwork, its locations, and a description of the investigation or audit and correspondence related to the audit or investigation. This system is not available under FOIA and is For Official Use Only.

a. Electronic Recordkeeping Copy. Destroy or delete when no longer needed for official business or completion of audit or report.

b. Hardcopy Outputs. Cut off at end of fiscal year. Destroy when 1 year old.



National Archives and Records Administration

8601 Adelphi Road
College Park, Maryland 20740-6001

Date : July 30, 2001

Reply to

Attn of : Kitty Carter, NWML

Subject : Department of Agriculture, Food Inspection and Safety Service, Job No. N1-462-00-1

To : Director, NWML

The Department of Agriculture, Food Safety and Inspection Service (FSIS), Office of Management, Internal Control Staff (ICS), request disposition authority for records relating to investigative records, audits files, and other media filed within FSIS offices.

The responsibilities of the Internal Control Staff are to assist management in carrying out their management control responsibilities; to independently and objectively assess the effectiveness of the agency's internal control operating system; and to monitor corrections of identified weaknesses. These actions ensure that organizational missions are being met through effective and efficient means.

OIG Investigative Records

Item 1a. OIG Investigative Records are proposed for permanent retention. These files document the historically significant and important investigations that attracted media attention, involving senior officials, resulted in congressional investigation or major changes in agency operating procedures and policy.

Item 1b. Investigative case files of agency program and mission activities and regulations are proposed for destruction when 10 years old. These investigations protect and insure the safety and integrity of the nation's meat, poultry, and egg products.

Item 1c. Investigative case files of an administrative nature are to be destroyed when 7 years old. These investigative case files are inquiries that do not result in an investigation, but rather a summary or narrative of what has been discovered with copies of applicable documents. These include allegations of fraud and abuse, misuse of government property and cases where the regulatory statutes were not used properly.

Item 1d. Case files and working papers on allegations of waste, fraud, abuse, and misuse of government services that did not result in an investigation are to be destroyed when 5 years old. These records are feeder case files that contain rough notes and drafts assembled to prepare the final report.

Item 1e(1)(2). Electronic mail and word processing records. Electronic copies of records under item a-d created by electronic mail and word processing systems. These records can be deleted when 180 days old and after recordkeeping copy is produced or when information is dispersed, revised, or update is completed.

OIG Audit Files

Item 2a1. Final Reports are proposed for permanent retention. These are reports on OIG audits that document and examine agency program activities and recommend extreme changes in agency policies.

Item 2a2. Other OIG audit files, which are not considered of a serious nature, can be destroyed 8 years after the end of the FY in which the final report is issued

Item 2b. Working papers and notes are to be destroyed when 5 years old. These files include correspondence and feeder reports used in preparing the final report.

Item 2c(1)(2). Electronic mail and word processing records. Electronic copies of records under item a-b created by electronic mail and word processing systems. These records can be deleted when 180 days old and after recordkeeping copy is produced or when information is dispersed, revised, or update is completed.

Items 3a and b. The OIG routinely receives complaints through telephone calls, mail or in person. Each complaint is assigned an OIG tracking number, and the complaint is reviewed for possible OIG investigative or audit interest. This item covers the administrative electronic tracking system for these complaints. The electronic tracking system is not available under the Freedom of Information Act and is For Official Use Only.

This schedule was published in the Federal Register and received no internal or external comments

FSIS has certified that the proposed disposition instructions for the electronic mail and word processing systems are adequate to meet its business needs, and there is no evidence indicating that the retention periods are inadequate

I recommend approval of this schedule because the retention periods for all temporary records are sufficient to ensure government accountability and legal rights. **Items 1a** and **2a1** are permanent records of sufficient historical or research value to warrant their continued preservation by NARA.



KITTY CARTER

Life Cycle Management Division