

## Request for Records Disposition Authority

Records Schedule Number      DAA-0040-2016-0001  
 Schedule Status                      Modified Approved Version

Agency or Establishment      Department of Commerce  
 Record Group / Scheduling Group      General Records of the Department of Commerce  
 Records Schedule applies to      Major Subdivision  
 Major Subdivision              Office of Inspector General (OIG), DOC  
 Minor Subdivision              Assistant Inspector General for Standards and Quality Control  
 Schedule Subject              Office of Audit and Evaluation, OIG, DOC, Audit/Evaluation File Management System

DOC OIG was established by the IG Act of 1978, as amended.

Internal agency concurrences will be provided      No

Background Information      DOC OIG  
    Office of Audit and Evaluation

This schedule pertains to only case files found in the system. Case files predating the launch of the system in January 2002 shall remain scheduled under its previous authority(ies) N1-040-00-001 and N1-040-01-002.

This system is the primary audit documentation, project tracking and workflow management tool for the Office of Audit and Evaluation (OAE). It provides frontline project management support and oversight to OAE by tracking each project from planning to issuance of a final report or other written product. It tracks project time, expense, and other metrics to provide a summary of up-to-date information for each OAE project. The system serves as the primary tool for creating and maintaining audit/evaluation/inspection work papers and supporting documentation that OAE saves concerning particular DOC programs or operating units for a specific period. Documentation includes, but is not limited to, planning documents, data analyses, interview records, draft and final reports, memoranda, and responses by the Department or Department operating units.

**Item Count**

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items

3	0	3	0
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GAO Approval

## Outline of Records Schedule Items for DAA-0040-2016-0001

Sequence Number	
1	<b>1. Audit Case Files</b>
1.1	<b>Audit Case Files</b> Disposition Authority Number: DAA-0040-2016-0001-0001
2	<b>2. Quality Review of OIG Office of Audits.</b>
2.1	<b>Quality Review of OIG Office of Audits.</b> Disposition Authority Number: DAA-0040-2016-0001-0002
3	<b>3. Inspection and Program Evaluation Report Files and Working Papers - Originals</b>
3.1	<b>Inspection and Program Evaluation Report Files - Originals</b> Disposition Authority Number: DAA-0040-2016-0001-0003

## Records Schedule Items

Sequence Number	
1	<p><b>1. Audit Case Files</b> Case files of internal audits of agency programs, operations and procedures, and of external audits of contractors and grantees. Consists of job start, audit reports, correspondence, memoranda, and supporting working papers. a. Case files for term audits. The term audits include economy and efficiency and program audits. Financial audits include financial statement and financial-related audits. b. Project files relating to other activities of an audit organization, including special projects not rising to the level of an audit, congressional correspondence, and related records. c. Audit resolution and audit appeal files.</p>
1.1	<p><b>Audit Case Files</b></p> <p>Disposition Authority Number      DAA-0040-2016-0001-0001</p> <p>a. Case files for term audits. The term audits includes both performance and financial audits. Performance audits include economy and efficiency and program audits. Financial audits include financial statement and financial-related audits. b. Project files relating to other activities of an audit organization, including special projects not rising to the level of an audit, congressional correspondence, and related records. c. Audit resolution and audit appeal files.</p> <p>Final Disposition                      Temporary</p> <p>Item Status                              Active</p> <p>Is this item media neutral?          Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                      Yes</p> <p>GRS or Superseded Authority Citation      N1-040-00-001/ 1a N1-040-00-001/ 1b N1-040-00-001/ 1c</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at end of fiscal year in which case file is closed.</p> <p>Retention Period                      Destroy 8 year(s) after cutoff.</p> <p><b>Additional Information</b></p>

	GAO Approval	Not Required
2	<b>2. Quality Review of OIG Office of Audits.</b> Case Files of internal quality reviews and external quality (peer) reviews of OLIG Office of Audits.	
2.1	<b>Quality Review of OIG Office of Audits.</b> Disposition Authority Number      DAA-0040-2016-0001-0002 Case Files of internal quality reviews and external quality (peer) reviews of OIG Office of Audits. Final Disposition                      Temporary Item Status                                Active Is this item media neutral?            Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes Do any of the records covered by this item exist as structured electronic data?                            Yes GRS or Superseded Authority Citation      N1-040-00-001/ 2  Disposition Instruction Cutoff Instruction                        Cut off at end of fiscal year in which case is closed. Retention Period                         Destroy 8 year(s) after cutoff.  Additional Information GAO Approval                              Not Required	
3	<b>3. Inspection and Program Evaluation Report Files and Working Papers - Originals</b> Case files of recurring inspections and program evaluations that assist management in identifying, analyzing, and resolving program and organizational performance and policy issues; studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. These files include copies of official draft and final reports issued by the Inspector General to agency heads, project start sheets, working papers, report review process sheets, report distribution lists, correspondence, and agency action plans, if applicable.	
3.1	<b>Inspection and Program Evaluation Report Files - Originals</b> Disposition Authority Number      DAA-0040-2016-0001-0003 Case files of recurring inspections and program evaluations that assist management in identifying, analyzing, and resolving program and organizational	

performance and policy issues; studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. These files include copies of official draft and final reports issued by the Inspector General to agency heads, project start sheets, report review process sheets, report distribution lists, correspondence, and agency action plans, if applicable.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-040-01-002/ 1

**Disposition Instruction**

Cutoff Instruction Cut-off at end of fiscal year in which inspection report or program evaluation case file is closed.

Retention Period Destroy 8 year(s) after cutoff.

**Additional Information**

GAO Approval Not Required

### 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

### Signatory Information

Date	Action	By	Title	Organization
08/29/2016	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
10/17/2016	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
01/10/2017	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
01/10/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
02/22/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
02/22/2017	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
02/22/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
03/08/2017	Return for Revision	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
03/15/2017	Submit For Certification	Catherine Findlay	Records Officer	Inspector General Office - Administration
03/15/2017	Certify	Catherine Findlay	Records Officer	Inspector General Office - Administration
07/11/2017	Submit for Concurrence	John Hulmston	Senior Records Analyst	National Archives and Records Administration - ACRA
07/13/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

07/13/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/17/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist