

700 AUDITING FILES. This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management

701 Internal OIG Audit Files. Reports of audits and surveys that pertain to the operation of a mission or function within the OIG

- a. Recordkeeping copy (paper): DESTROY when 2 years old *Disposition Pending*
- b. Electronic mail and word processing system copies.

(1) Copies 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. DELETE within 180 days after the recordkeeping copy has been produced. *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

***702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files. (N1-330-90-4, N9-509-00-01)

703 Case Control System Files. RESCINDED. These records never existed and are not required in Audit. (N1-330-88-4, N9-509-00-01)

705 Inquiries and Reports Files. RESCINDED. If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No. 700 If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No. 750 or 751. (N1-330-90-4, N9-509-00-01)

705-10 Congressional Inquiries Files. RESCINDED If inquiries and responses were of a routine nature, they were incorporated into File No 363-10, 700, or 750 If they were of a substantive nature having historical value, they were incorporated into File No. 363-20 or 751. (N1-330-88-4, N9-509-00-01)

710 AUDIT POLICY AND PROGRAM PROCEDURES FILES. Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies.

a. Recordkeeping copy (paper) excluding the supporting documentation PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old. (N1-330-88-4) *Disposition Pending*

b. Other copies, supporting documentation, work papers and background material (paper). DESTROY when no longer needed (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies

(1) Copies 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. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

715 Audit Planning Files. Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan or related documents.

a. Recordkeeping copy (paper): PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old. (N1-330-88-4) *Disposition Pending*

b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies.

(1) Copies 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. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

720 ROUTINE AUDIT OVERSIGHT PROJECT FILES. Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures.

a. Recordkeeping copy (paper) DESTROY 3 years after final management decision of the final audit oversight report unless management classifies those files as "Permanent Audit Oversight Project Files," which would fall under File No. 721a. (N1-330-88-4) *Disposition Pending*

b. Electronic mail and word processing system copies

(1) Copies 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. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete (N9-509-00-01) *Disposition Pending*

721 PERMANENT AUDIT OVERSIGHT PROJECT FILES. Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures that: (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for their uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to Congress

a. Recordkeeping copy (paper) PERMANENT: Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is 3 years old *Disposition Pending*

b. Electronic mail and word processing system copies

(1) Copies 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 DELETE within 180 days after the recordkeeping copy has been produced *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

730 AUDIT FOLLOW-UP CASE FILES. RESCINDED. Incorporated into File No. 735 below. (N1-330-88-4, N9-509-00-01)

735 GAO/OIG Audit Follow-up Case Files. Documents that record the mediation of disputes regarding recommendations in DoD, IG audit reports and followup on management corrective action on recommendations in both DoD, IG and GAO reports.

a. Recordkeeping copy (paper). Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC DESTROY transferred cases 20 years after case closure. (N1-330-88-4) **Disposition Pending**

b. Electronic mail and word processing system copies

(1) Copies 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 DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) **Disposition Pending**

740 CONTRACT AUDIT CASE FILES. RESCINDED. Incorporated into File No 750 or 751 below. (N1-330-88-4, N9-509-00-01)

750 ROUTINE AUDIT PROJECT FILES. Documents created or maintained by the DoD,IG, pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports Also included are related indexes

a Recordkeeping copy.

(1) Paper DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as "Permanent Audit Project Files," which would fall under File Nr. 751a(1) (N1-330-90-4) **Disposition Pending**

(2) Electronic data and related records. (Includes master file of electronic data, source documents/data and output documents/data) DESTROY 2 years after the final report is issued in accordance with 36 CFR 1228 270 and 36 CFR 1234. **Disposition Pending**

b Electronic mail and word processing system copies.

(1) Copies 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 DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete (N9-509-00-01) ***Disposition Pending***

751 PERMANENT AUDIT PROJECT FILES. Documents created or maintained by the DoD,IG pertaining to unclassified or classified audits of programs, operations, policies, procedures and special request audits that. (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to the Congress. Also included are related indexes.

a. Recordkeeping copy

(1) Paper: PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives 25 years after report is issued or when records are declassified, whichever is later. ***Disposition Pending***

(2) Electronic data and related records (Includes master file of electronic data, source documents/data and output documents/data) PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued in accordance with 36 CFR 1228.270 and 36 CFR 1234 ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies 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. DELETE within 180 days after the recordkeeping copy has been produced. ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**Below is a conversion table of
Current File Numbers
to
Proposed File Numbers.**

<u>Current File Number</u>	<u>Proposed File Number</u>
702	750 & 751
703	Not Converted (RESCINDED)
705	700, 750 & 751
705-10	363-10, 700, 750 & 751
720	720 or 721
730	735
740	750 or 751
750	750 or 751