

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See instructions below)

LEAVE BLANK (NARA use only)

JOB NUMBER

71-441-02-1

DATE RECEIVED

6-5-02

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

U.S. Department of Education

2. MAJOR SUBDIVISION

Office of Inspector General

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Lawrence E. Newman

5. TELEPHONE

202-205-9790

DATE

9-29-03

ARCHIVIST OF THE UNITED STATES

[Signature]

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 5 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

5/15/02

SIGNATURE OF AGENCY REPRESENTATIVE

Chiquita Thomas, Records Officer

TITLE

7
ITEM
NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

9 GRS OR
SUPERSEDED
JOB CITATION

10. ACTION
TAKEN (NARA
USE ONLY)

See Attached Schedule for the Office of Inspector General

[Signature]
Lawrence E. Newman
Special Assistant to the Inspector General

Date: 5/9/02

cc Agency, DR, NARA, NWD, NWMU

**U.S. DEPARTMENT OF EDUCATION
OFFICE OF INSPECTOR GENERAL
N1-441-02-1**

This schedule covers audit, investigative, analysis, inspection, and other records created by the Office of Inspector General (OIG) within the Department of Education as well as those acquired by the OIG in the course of business.

The OIG is responsible for conducting, controlling, and reviewing audits, investigations, inspections, analyses, evaluations, and other appropriate reviews relating to the programs, operations, and activities of the Department, including Federal Student Aid (FSA) (Performance Based Organization-PBO). In this capacity, the OIG provides leadership, coordination and recommendations to improve performance (efficiency and effectiveness), and to detect or prevent fraud, waste and abuse in the administration of the programs, operations, and activities of the Department.

Note: *Significant cases, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedures or that investigate a high-level agency official are not covered by this schedule. The disposition of significant files will be determined by NARA. Such files must be scheduled by submitting an SF-115.*

1. AUDIT RECORDS

- a. **Audit Reports:** This set of records provides the central source within the Department for information on work conducted by the Office of Inspector General staff or under contract for the Office of Inspector General for the following:
- internal audits and reviews and other alternative products with related correspondence and administrative documentation relating to the programs, operations, and activities of the Department of Education, including FSA.
 - external audits and reviews and other alternative products with related correspondence and administrative documentation relating to entities doing business with the Department of Education, including FSA. Entities generally include, but are not limited to, contractors, grantees, lenders, guaranty agencies, state education agencies, local education agencies, schools, and other third parties having an interest in Department programs, operations and activities.

Disposition: TEMPORARY. Cutoff at end of fiscal year in which case is closed. Transfer to the Federal Records Center 1 year after cutoff. Destroy 5 years after cutoff. (Supersedes NARA Job No. NC1-12-76-1, item 1)

- b. **Audit Tracking System. (Electronic Media)** This system is used to track assignments by control numbers, conducted by or for Audit Services.

Disposition: TEMPORARY. Destroy/Delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. (~~GRS 22, Item 8~~). *6-9-03*

2. INVESTIGATION RECORDS

- a. **Investigative Files.** Files are developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. This includes investigative files relating to employee and hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers.

Disposition: TEMPORARY. Cutoff files at end of the fiscal year in which case is closed. Retire to Federal Records Center 2 years after cutoff. Destroy 10 years after cutoff. (Supersedes GRS 22, Item 1b)

- b. **Investigative Files not relating to a Specific Investigation.** Files containing information or allegations which are of an investigative nature, but do not relate to a specific investigation. They include anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and support files providing general information, which may prove useful in Inspector General investigations.

Disposition: TEMPORARY. Cutoff files at end of the fiscal year in which case is closed. Retire to Federal Records Center 2 years after cutoff. Destroy 5 years after cutoff.

- c. **Investigative Case File Tracking System. (Electronic Media)** System used to track the above investigations by control numbers assigned to the various cases.

Disposition: TEMPORARY. Destroy/Delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

3. HOTLINE RECORDS OF THE INSPECTOR GENERAL

- a. **Hotline Complaint Files** - Consist of information compiled for use to alert the OIG of potentially serious problems as well as to apprise the Department's management of administrative problems.

Disposition: TEMPORARY. Cutoff files at the end of the fiscal year in which the complaint is resolved. Transfer to the Federal Records Center 2 years after cutoff. Destroy 5 years after cutoff.

- b. **Hotline Chronological Files** - Consist of letters and email correspondence sent to the hotline office and responses by the office as well as copies of the monthly statistical compilations of complaints received.

Disposition: TEMPORARY. Cutoff files at the end of the fiscal year. Destroy 3 years after cutoff.

- c. **Hotline Tracking System. (Electronic Media)** This system is used to track hotline complaints by recording pertinent information about complaints. The system contains of the hotline control number and the departmental program involved.

Disposition: TEMPORARY. Destroy/Delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. ~~(GRS 23, item 8)~~ 6-9-03
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4. ANALYSIS AND INSPECTION (A&I) RECORDS

- a. **A&I Reports.** Pertains to, but is not limited to, inspections, management reviews, analysis and inspection memoranda, program evaluations and other analyses with related correspondence and administrative documentation relating to the programs, operations and activities of the Department of Education, including the FSA. This set of records provides the central source within the Department for information on inspections, management reviews, analysis and inspection memoranda, program evaluations and other analyses conducted by the Office of Inspector General staff or under contract for the Office of Inspector General.

Disposition: TEMPORARY. Cutoff at end of fiscal year in which case is closed. Retire to the Federal Records Center 1 year after cutoff. Destroy 5 years after cutoff.

- b. **A&I Tracking System. (Electronic Media)** A&I Tracking System is part of the Audit Tracking System cited in 1.b. The A&I Tracking System is used to track A&I products by control numbers.

Disposition: TEMPORARY. Destroy/Delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable. ~~(GRS 23, item 8)~~ 6-9-03
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- c. **OIG Non-Federal Auditor Referral, Suspension, and Debarment Files:**
These are case files containing records generally relating to, but not limited to, the suspension and debarment of non-federal auditors for misconduct or poor performance.

Disposition: TEMPORARY. Cutoff files at the end of the fiscal year in which the case is closed. Retire to the Federal Records Center 1 year after cutoff.
Destroy 8 years after cutoff.

5. SEMIANNUAL REPORTS TO CONGRESS

- a. **Record Copy of Report.** Pertains to Semiannual Reports and related working papers prepared by the OIG and submitted to the Congress. The reports summarize activities for the OIG for the six-month periods ending March 31 and September 30 of each year.

Disposition: PERMANENT. Cutoff upon transmission to Congress. Transfer 2 copies of each report to NARA in 5-year blocks when the most recent report in the block is 5 years old.

- b. **Working Papers**

Disposition: TEMPORARY. Destroy when no longer needed

6. POLICIES, PROCEDURES AND MANAGEMENT RECORDS IN OIG.

Pertains to records that define and document the policies and procedures required for directing, controlling, and carrying out OIG operations. Records include, but are not limited to, manuals, handbooks and directives.

- a. **Record Copies.** Manuals, handbooks, directives, and other documents that define and document policies and procedures.

Disposition: PERMANENT. Cutoff when superseded. Transfer to NARA in 5-year blocks when the most recent report in the block is 5 years old.

- b. **Working Papers**

Disposition: TEMPORARY. Destroy when no longer needed.

7. **ELECTRONIC MAIL AND WORD PROCESSING RECORDS IN OIG.**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate 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, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copies are made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

Disposition: TEMPORARY. Destroy/Delete within 180 days after the recordkeeping copy has been produced.

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

Disposition: TEMPORARY. Destroy/delete when dissemination, revision or updating is completed.