

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA) use only	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	NI-434-00-1
1. FROM (Agency or establishment) Department of Energy		DATE RECEIVED	10/20/1999
2. MAJOR SUBDIVISION Office of Inspector General		NOTIFICATION TO AGENCY In accordance with the previous 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Gloria Wood	5. TELEPHONE 202-586-1930		

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 10/13/99	SIGNATURE OF AGENCY REPRESENTATIVE <i>John E. Darnold</i>	TITLE Departmental Records Officer
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
	See attached.		
<i>Agency, no, NARA</i>			

**DEPARTMENT OF ENERGY
OFFICE OF INSPECTOR GENERAL RECORDS**

This records schedule covers files created or maintained by the Department of Energy, Office of Inspector General (OIG). Major statutory responsibilities of the OIG are to detect and prevent fraud, abuse, and violations of law and to promote economy, efficiency, and effectiveness in the operations of the Department of Energy. OIG cases are ~~classified~~^{category 1 & 2} either routine or priority. Cases are designated priority when the matter under investigation has special interest to the Inspector General or other high-level Department officials, the U.S. Congress, the White House or the media, or when at least one of the other criteria identified in item 4.b.1) of this schedule has been met.

Correspondence or subject files, policies, publications, reports, and any other records not covered by this schedule must be scheduled separately.

Indexes to records in this schedule are covered by "Records Common to Most Offices Within the Department," ADM 23, item 9.

The records described in this schedule are authorized for disposal in both hard copy and electronic formats.

1. Semiannual Reports to Congress.

Reports that summarize significant Office of Inspector General audit, inspection and investigative accomplishments for the reporting period and that may attract Congressional or national media attention.

a. Official copy.

PERMANENT. Cut off at the end of the fiscal year which includes reporting period. Maintain in office. Transfer to National Archives and Records Administration (NARA) 30 years after cutoff.

b. All other copies.

Destroy when no longer needed.

2. Audit Records.

OIG files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. These are files (including audit reports, most of which may be released to the public) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in

Department policies or procedures, or be cited in semiannual reports to Congress.

a. OIG files containing information which does not result in a formal audit, as well as information requiring no action by the OIG.

1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.

2) All other copies.

Destroy when no longer needed.

b. OIG files containing information which has resulted in the initiation of a formal audit.

1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.

2) All other copies.

Destroy when no longer needed.

c. Final audit report.

1) Official copy.

PERMANENT. Cut off at the end of the fiscal year during which file is formally closed. Maintain in Office. Transfer to NARA 30 years after cutoff.

2) All other copies.

Destroy when no longer needed.

3.1. Inspection Records.

OIG files of allegations/complaints of a non-criminal nature, employee retaliation, or a special inquiry of sensitive issues. These are files (including inspection reports) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or cited in

semiannual reports to Congress.

a. OIG files containing information or allegations, described above, which do not result in a formal inspection, including Qui Tam files and allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 5 years after cutoff.

2) All other copies.

Destroy when no longer needed.

b. OIG files containing information or allegations which have resulted in the initiation of a formal inspection.

1) Official copy.

Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Destroy 10 years after cutoff.

c. Final inspection report.

1) Official copy.

PERMANENT. Cut off at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

2) All other copies.

Destroy when no longer needed.

4. Investigative Records.

OIG files to document allegations of fraud, waste, abuse, and violations of Federal laws/regulations involving DOE programs operations, employees and/or monies. The allegations relate to prohibited or improper activities against the Department by its contractors, vendors, employees, and others having a relationship to DOE. This includes allegations reported in writing, via telephone, in person or to the Hotline, email, or to any

OIG staff. These are files (including investigation reports, none of which may be released to the public) developed in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

a. OIG files containing information or allegations, which do not result in a formal investigation, including allegations referred to Department management or other Federal agencies, as well as allegations requiring no action by the OIG.

1) Official copy.

Cut off at the end of the fiscal year. Maintain in office. Destroy 10 years after cutoff.

2) All other copies.

Destroy when no longer needed.

b. OIG records containing information or allegations which have resulted in the initiation of a formal investigation.

1) Records of investigations which are deemed priority and meet any one of the following: (i) the matter under investigation has special interest to the Inspector General, the Assistant Inspector General for Investigations (AIGI), Departmental Officials at the Assistant Secretary level or above, the U.S. Congress, the White House, or the media; (ii) the AIGI, Deputy AIGI, Special Agent-in-Charge, or Assistant Special Agent-in-Charge believes the case has the potential to have a significant impact on Department programs or operations; (iii) the matter under investigation involves a Departmental official at the Senior Executive Service (SES) level or above as a subject; or (iv) the matter under investigation is designated priority and/or time-sensitive by Headquarters or an Office of Investigations Manager.

PERMANENT. Cutoff at the end of the fiscal year during which file is formally closed. Maintain in office. Transfer to NARA 30 years after cutoff.

2) All other investigative records not covered by item 4.b.1).

Cutoff at the end of the fiscal year. Maintain in office. Destroy 20 years after cutoff.

3) All other copies.

Destroy when no longer needed.

5. Electronic Records.

Electronic copies of records that are created on electronic mail and work processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule. 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 record keeping 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 record keeping copy.

Destroy/delete within 180 days after the record keeping copy has been produced.

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

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