## REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See instructions on reverse)

### 1. FROM (Agency or establishment)
- **NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)**
  - Washington, DC 20408

### 2. MAJOR SUBDIVISION
- Department-wide

### 3. MINOR SUBDIVISION
- **Department of Energy**

### 4. NAME OF PERSON WITH WHOM TO CONFER
- Mary Ann Wallace

### 5. TELEPHONE
- 301 903 4353

### 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 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.

### 7. ITEM NO.
- 1

### 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION
- Administrative Schedule 22, based upon GRS 22; See Attachment.

### 9. GRS OR SUPERSEDED JOB CITATION
- [ ]

### 10. ACTION TAKEN (NARA USE ONLY)
- [ ]

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**Additional Notes:**
- GRS 22 was withdrawn.
DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 22:
AUDIT/INVESTIGATIVE RECORDS

This records schedule covers all types of investigations, including routine and significant internal program investigations, specific purpose investigations, audits, inspections, appraisals, and management reviews. Investigations may be described or referred to as audits, appraisals, surveillance, self-assessments, management assessments, or evaluations. Investigations may be conducted by DOE or by contractors. Investigations serve to prevent or reduce waste and fraud in Departmental programs, to improve Departmental management, and to determine compliance with requirements. Excluded are the Department’s Office of Inspector General (OIG) investigations.

Indexes to these files are covered by “Records Common to Most Offices Within the Department,” ADM 23, item 9. Correspondence or subject files, policy files, publications, reports to Congress, and any other records not covered by this schedule must be scheduled separately.

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

Investigative case files relate to Departmental personnel and programs and operations administered or financed by the Department. Contractors and others having a relationship with the Department are included. Investigations include those for known or alleged fraud, abuse, irregularities, and violations of laws and regulations. Investigations may stem from employee or hotline complaints, or other miscellaneous complaints. Investigative reports and related documents are included, such as correspondence, notes, attachments, working papers, and products of the investigation, e.g., a report or the equivalent including additional non-conformance reports, trend analyses, corrective action records and plans, lessons learned, and associated working papers, reviews, comments, and log books.

1. Reports.

   a. Final Audit/Investigation Reports.

      (1) Reports on activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.

         a. Official Copy. PERMANENT. Cut off annually. Transfer to NARA in 5-year blocks when 10 years old.

         b. All other copies. Destroy when no longer needed.
(2) All other final audit/investigative reports not meeting the criteria of item 1a(1).
   b. All other copies. Destroy when no longer needed.

2. Audit/Investigative Case Files.
   a. Case files developed in connection with activities that attract national media attention, attract Congressional attention, result in substantive changes in Departmental policy or procedure, or are cited in semi-annual reports to Congress.
      (1) Official Copy. PERMANENT. Cut off upon completion of audit or investigation. Transfer to NARA along with associated report.
      (2) All other copies. Destroy when no longer needed.
   b. All other case files not meeting the criteria of item 2a(1).
      (1) Official Copy. Cut off upon completion of audit or investigation. Destroy when 10 years old.
      (2) All other copies. Destroy when no longer needed.

   Potential investigative files contain information or allegations which are of an investigative nature but do not relate to a specific investigation. They include the anonymous and other allegations determined not to warrant an investigation, matters referred to others for handling, and support files providing general information which may prove useful in an investigation.
   Cut off at the end of the fiscal year. Destroy when 5 years old.

   Audit and investigative case files and reports that pertain to environmental, health, and safety topics, cases, or concerns, but ARE NOT covered by items 1a(1) or 2a(1) above.
   Cut upon completion of audit or investigation. Destroy when 75 years old.

5. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping 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 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.

   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.

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