

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See instructions on reverse)		LEAVE BLANK (NARA use only)	
10 NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-434-98-24	DATE RECEIVED 3-30-98
1. FROM (Agency or establishment) Department of Energy		Washington, DC 20585	
2. MAJOR SUBDIVISION Department-wide		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER Mary Ann Wallace		5. TELEPHONE 301 903 4353	DATE 6-22-00
		ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>	

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 3 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 3/25/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Mary Ann Wallace</i> Mary Ann Wallace	TITLE Team Leader, Records Mgt.
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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 GRS OR SUPERSEDED JOB CITATION	10.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)
1	Administrative Schedule 22 , based upon GRS 22 ; See Attachment. * GRS 22 was withdrawn		

Agency NIR number

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).

- a. Official copy. Cut off annually. Destroy when 10 years old.
- 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.

3. Potential Investigations.

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.

4. Environmental Investigations.

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.

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DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 22:
INVESTIGATIVE RECORDS

This records schedule covers all types of investigations: The planned, routine internal program investigations, audits, inspections, appraisals, and management reviews; and the unplanned, specific purpose investigations. Both types of investigations may also be described or referred to as audits, appraisals, surveillance, self-assessments, management assessments, and evaluations. EXCLUDED are all financially driven audits including those of the management aspects of financed activities. 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. Included are the Department's Inspector General (IG) investigations. The IG may either conduct or supervise the conduct of the audit or investigation. The IG reports problems, deficiencies and progress to the Secretary, and the IG must also submit reports to the Congress.

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. **Potential Investigations. (EXCEPTION TO GRS 22, item 1a)**

Potential investigative files may 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.

2. **Routine Investigations.** (EXCEPTION TO GRS-22, item 2)

Case files for the routine, internally driven planned program or single purpose investigations. Includes follow-up activities. Audits may involve Departmental programs, operations, and procedures, and audits of contractors and grantees. Includes audit reports, correspondence, memoranda, and supporting working papers. EXCLUDES significant, and environmental, investigation case files covered below. Includes Inspector General audit case files.

Cut off at end of fiscal year in which case is closed. Destroy 8 years after the cutoff.

3. **Significant Investigations.** (EXCEPTION TO GRS 22, item 1b)

Cases that resulted in attracting national media attention, causing a Congressional investigation, causing substantive changes in Departmental policy or procedures, and those that resulted in documenting major violations of criminal law or ethical standards by Departmental officials or others.

Permanent. Place in inactive files when case is closed. Cut off inactive files at the end of the fiscal year. Transfer to the National Archives 10 years after the cutoff.

4. **Environmental Investigations.**

Files that pertain to environmental, health, and safety topics, cases, or concerns. EXCLUDES the significant cases covered above.

Cut off annually or when case is closed. Destroy 75 years after the cutoff.

5. **All Other Investigations.** (GRS 22, item 1b)

All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by Departmental officials or others.

Place in the inactive files when case is closed. Cut off the inactive files at the end of the fiscal year. Destroy 10 years after the cutoff.