

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 <i>NI 311-99-6</i>	
1. FROM (Agency or establishment) Federal Emergency Management Agency		DATE RECEIVED <i>7/26/99</i>	
2. MAJOR SUBDIVISION Office of Inspector General		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Tammy Schartel	5. TELEPHONE (202) 646-2641	DATE <i>11-5-99</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</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 <u>4</u> 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, <input checked="checked" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>7/22/99</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>George J. Opfer</i>	TITLE Chief, Records Management Branch Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	Change FEMA Manual 5400.1 (old 5400.4) to include the attached categories for disposition of OIG investigative and audit case files, to now include categories for significant cases and reports, word processing, and electronic mail records. <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <i>for</i> <i>George J. Opfer</i> George J. Opfer Inspector General </div> <div style="width: 45%;"> <i>at 7/26/99</i> <i>Robert S. Brock</i> Robert S. Brock Associate General Counsel Office of General Counsel </div> </div>		

6-3 Audits and Investigations (AUD)

This schedule covers the two major series of investigative, audit, and related records created or maintained by the Office of Inspector General and documents relating to OMB Circular A-123 and other regulations to curb fraud, waste, and abuse

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-1	<u>Investigative Case Files</u> Case files developed during investigations of known or alleged fraud and abuse, and irregularities and violations of laws and regulations, EXCLUDING those that result in national media attention, Congressional investigation, or substantive changes in agency policy or procedure Cases related to FEMA personnel and programs and operations administered or financed by FEMA, including contractors and others having a relationship with FEMA 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	(For disposition instructions, see sub-categories AUD-1-1 and AUD-1-2)	
AUD-1-1	Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation They include anonymous 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	Destroy when 5 years old	PENDING FROM NARA
AUD-1-2	All other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by agency officials or others	Place in inactive files when case is closed Cut off inactive file at end of fiscal year Destroy 10 years after cutoff	PENDING FROM NARA

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-1-3	Significant investigative case files Investigative case files that involve allegations made against senior agency officials, attract significant attention in the media, either at local or national level, attract congressional attention, result in substantive changes in agency policies and procedures, or are cited in the OIG's periodic reports to Congress	PERMANENT Cut off file when case is closed Retire to FRC 5 years after cutoff Transfer to the National Archives 20 years after cutoff	PENDING FROM NARA
AUD-1-4	<u>Electronic Mail and Word Processing System Copies of Investigative Case Files</u> 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 item Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination		
AUD-1-4-1	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 directorates 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.	PENDING FROM NARA
AUD-1-4-2	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	PENDING FROM NARA

Superseded by job / item number

GRS 5.1, item 020

(DAA-GRS-2016-0016-0002)

Date (MM/DD/YYYY)

GRS Transmittal 28, July 2017

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-2	<u>Audit Case Files</u>		
AUD-2-1	Working papers files of internal and external audits of FEMA programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers	Cut off at end of fiscal year in which audit report is issued ^{closed} Destroy 8 years after cutoff ^{per 6/7/02 email}	PENDING FROM NARA
AUD-2-2	Final reports of internal and external audits of FEMA programs, operations, and procedures	PERMANENT Cut off at the end of fiscal year in which report is issued ^{closed} Retire to the FRC 2 years after cutoff Transfer to National Archives 20 years after cutoff ^{per 6/7/02 email}	PENDING FROM NARA
AUD-2-3	<u>Electronic Mail and Word Processing System Copies of Audit Case Files</u> 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		
AUD-2-3-1	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 directorates 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 Superseded by job / item number GRS 5.1, item 020 (DAA-GRS-2016-0016-0002) Date (MM/DD/YYYY) GRS Transmittal 28, July 2017	PENDING FROM NARA

FILE NUMBER	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	NARA AUTHORITY
AUD-2-3-2	Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy (which is kept under AUD-2-1)	Destroy/delete when dissemination, revision, or updating is completed	PENDING FROM NARA

Superseded by job / item number

GRS 5.1, item 020

(DAA-GRS-2016-0016-0002)

Date (MM/DD/YYYY)

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