

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCL-207-84-01	
DATE RECEIVED 11-23-83	
NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
3-18-85 Date	<i>Robert McWain</i> Archivist of the United States

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)
U. S. Dept. of Housing and Urban Development

2 MAJOR SUBDIVISION
Office of Inspector General

3 MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
George W. Pluta

5 TEL EXT
755-6401

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C DATE NOV. 10, 1983	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert J. Durkin</i>	E TITLE Departmental Records Management Officer, ASE
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p align="center">RECORDS DISPOSITION SCHEDULE 8</p> <p align="center">Audit and Investigation Record</p> <p>This schedule covers all records created and accumulated by the Office of Inspector General in the Field and in Headquarters. This schedule also covers copies of records kept by HUD Offices other than the Office of Inspector General. These records include audit, investigation, inspection, and fraud control records created by HUD's predecessor agencies.</p> <p>Before any disposal provision listed in this schedule is applied, all records must first be reviewed for application of the following legal and investigative restrictions. No records covered by them may be destroyed until the restrictions no longer apply or until they have been removed.</p> <p>Records relating to matters under prosecution, litigation or investigation, or which have been referred to the Department of Justice for consideration for civil or criminal action, or in which another government agency has notified the Department that it has an interest for investigative purposes will be disposed of as follows:</p>		

115-107 *copies sent to Agency, NNF 3-19-85*

Request for Records Disposition Authority – Continuation	JOB NO	PAGE OF	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>1. <u>If known to be the subject of litigation, prosecution or investigation, retain</u> until notified that final determinations or last actions have been taken. Then transfer to Federal Records Center. Destroy 5 years after date of final determination or last action.</p> <p>2. <u>If known to be the subject of litigation, prosecution or investigation after transfer to Federal Records Center,</u> recall the records and retain them until notified that final determinations or last actions have been taken. Destroy 5 years after date of final determination or last action.</p> <p>This "Request for Records Disposition Authority" consolidates, and slightly revises, those disposition standards contained in previously approved HUD Records Schedule 8, Audit Records (NARS Job No: <u>NC-207-75-2, Approved 12-23-75; and NCI-207-79-10, Covering item 7, Approved 9-2-79</u>), and HUD Records Schedule 28, Investigation Records (NARS Job No. <u>NC-207-75-3, Approved 11-24-75; and NCI-207-76-9, Covering item 1, Approved 7-8-76</u>).</p> <p>A conversion table is attached to this request.</p> <p><u>George W. Pluta</u> Program Concurrence <u>11-10-83</u> Date</p> <p><u>Phillip A. Shulman</u> Legal Concurrence <u>11-10-83</u> Date</p>		

CONVERSION TABLE

PROPOSED AUDIT AND INVESTIGATION RECORDS	SUPERSEDED HUD SCHEDULE		SUPERSEDED NARS JOBS	
Item No.	Schedule No.	Item No.	Job No.	Item No.
1.a	8	1.a.	NC-207-75-2	1.a.
	28	9.a.	NC-207-75-3	9.a.
1.b	8	1.b.	NCI-207-75-2	1.b.
	28	9.b.	NCI-207-75-3	
2.a.(1)(a)(b) (2)	8	2.a.(1)(a)(b) (2)	NC-207-75-2	2.a.(1)(a)(b) (2)
2.b.(1)(a)(b) (2)(a)(b)	8	2.b.(1)(a)(b) (2)(a)(b)	NC-207-75-2	2.b.(1)(a)(b) (2)(a)(b)
3.a.	8	3.a.	NC-207-75-2	3.a.
3.b.	8	3.b.	NC-207-75-2	3.b.
4.	8	4.	NC-207-75-2	4.
5.	8	5.	NC-207-75-2	5.
6.a.	8	6.a	NC-207-75-2	6.a.
6.b.	8	6.b.	NC-207-75-2	6.b.
6.c.	8	6.c.&d (have been combined)	NC-207-75-2	6.c.
7.	8	7.	NC-207-75-2 NCI-207-79-10	7. 7.
8.a.(1)(a)(b) (2)	28	1.a.(1)(a)(b) (2)(a)(b)	NC-207-75-3 NCI-207-76-9	1.a.(1)(a)(b) (2)(a)(b)
8.b.	28	1.b.	NC-207-75-3	1.b.
9.	28	2.	NC-207-75-3	2.
10.	New Item			
11.a.(1)(2)	28	4.a.(1)(2)	NC-207-75-3	4.a.(1)(2)
11.b.	28	4.b.	NC-207-75-3	4.b.
12.	New Item			
13.a.	28	7.b.	NC-207-75-3	7.b.
14.a.	28	8.a.	NC-207-75-3	8.a.
15.a.	28	9.a.	NC-207-75-3	9.a.
15.b.	28	9.b.	NC-207-75-3	9.b.
16.a.	28	10.a.&b. (Have been combined)	NC-207-75-3	10.a
17.	28	11.	NC-207-75-3	11.
18.a.-d.	New Item			



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

This schedule covers all records created and accumulated by the Office of Inspector General in the Field and in Headquarters. This schedule also covers copies of records kept by HUD Offices other than the Office of Inspector General. These records include audit, investigation, inspection, and fraud control records created by HUD's predecessor agencies.

Before any disposal provision listed in this schedule is applied, all records must first be reviewed for application of the following legal and investigative restrictions. No records covered by them may be destroyed until the restrictions no longer apply or until they have been removed.

Records relating to matters under prosecution, litigation or investigation, or which have been referred to the Department of Justice for consideration for civil or criminal action, or in which another government agency has notified the Department that it has an interest for investigative purposes will be disposed of as follows:

1. If known to be the subject of litigation, prosecution or investigation, retain until notified that final determinations or last actions have been taken. Then transfer to Federal Records Center. Destroy 5 years after date of final determination or last action.
2. If known to be the subject of litigation, prosecution or investigation after transfer to Federal Records Center, recall the records and retain them until notified that final determinations or last actions have been taken. Destroy 5 years after date of final determination or last action.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
1.	Policy and Procedure Records consisting of memoranda, manual releases, basic delegations of authority, and written instructions documenting and interpreting policy, procedures, standards and organization of the Office of Inspector General.	

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	The official file is maintained in Headquarters.	
	a. Headquarters Office Files	Transfer to the Federal Center 3 years after material is superseded or becomes obsolete. Destroy 12 years after material is superseded or obsolete.
	b. Regional Office Files	Transfer to the Federal Records Center 3 years after material is superseded or becomes obsolete. Destroy 5 years after material is superseded or obsolete.
2.	Working Papers including basic information on the entity audited, documentation of work performed during an audit, and back-up material in support of audit findings, conclusions, and recommendations. Working papers for each audit consist of a current file and, if applicable, a permanent file.	
	a. Permanent Files consisting of basic information needed in subsequent examinations of the same entity: history, policy, procedures, organization, financing, and location of activities of the entity to be audited.	
	(1) Internal Audits	
	(a) Recurring Audits	Retain until final audit is made or activity or program is discontinued.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		Transfer to the Federal Records Center 1 year later provided all required actions on the last or final audit report have been taken. Destroy 4 years after all required actions or final audit report.
	(b) Other Audits	Retain for 3 years after the date of the audit report. Transfer to the Federal Records Center, provided: (i) All actions on report have been taken and (ii) No audits provided for in the Annual Plan for the year in which the 3 year retention period elapses. Destroy 6 years after date of audit report provided i and ii observed.
	(2) External Audits	Retain until final audit is made. Transfer to the Federal Records Center 1 year after required actions on the final report have been satisfactorily taken. Destroy 4 years after required actions on final report have been satisfactorily taken.
b.	Current Files containing correspondence, documents, analyses of accounts and records, financial statements and supporting schedules, records of interviews, minutes of conferences, and back-up material which evidence	

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	the work done during the audit and support audit conclusions, opinions and findings. These files contain the basic material from which the audit report is prepared.	
	(1) Internal Audits	
	(a) Recurring Audits	Retain most recent current file until issuance of report on succeeding audit. Then transfer to Federal Records Center. Destroy 3 years after issuance of report on succeeding audit.
	(b) Other Audits	Retain for 1 year after all required actions on the internal audit have been satisfactorily taken. Then transfer to Federal Records Center. Destroy 4 years after date all required actions on internal audit satisfactorily taken.
	(2) External Audits	
	(a) Cycle Audits	Retain most recent current file until issuance of report on succeeding audit. Then transfer file for the prior audit to the Federal Records Center. Destroy 4 years after issuance of report on succeeding audit.
	(b) Final and Request Audits	Retain for 1 year after all required actions on the final audit report have been satisfactorily taken. Then

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		transfer to the Federal Records Center. Destroy 4 years after all required actions on final audit report satisfactorily taken.
3.	Audit Report Follow-Up Files including copies of the audit report and all correspondence pertaining to actions taken on audit report findings and recommendations.	
	a. Recurring Audits (Internal) and Cycle Audits (External)	Transfer to the Federal Records Center after completion of subsequent audit, provided the audit findings have either been satisfactorily resolved or all open findings have been incorporated into the subsequent audit report. Destroy 3 years after completion of subsequent audit provided above conditions met.
	b. All Other Audits (Internal) and Final and Request Audits (External)	Retain for 1 year after all findings have been satisfactorily resolved. Then transfer to Federal Records Center. Destroy 4 years after all findings have been satisfactorily resolved.
4.	Audit Contract File consisting of conformed copies of contracts and agreements, project summaries, prior approval authorizations, approved budgets, notices of start of operations.	Retain until final audit is made. Transfer to Federal Records Center when all actions on the final audit report have been satisfactorily taken. Destroy 3 years after all actions on final audit reports taken.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
5.	Audit Correspondence Files. Temporary files wherein documents, correspondence and other pertinent data of use in an upcoming audit are filed on a day-to-day basis.	Dispose of material in file after each audit is completed either by destruction or by transfer to current or permanent files as appropriate.
6.	Audit Case Files - Headquarters Copies of the audit report <u>issued in the field</u> and all related correspondence received in or generated by Headquarters.	
	a. Cycle Audits (External)	Destroy upon receipt of new audit case file.
	b. Final and Request Audits (External)	Destroy 1 year after date of report.
	c. Recurring Audits and All Other Audits (Internal)	Retain for 5 years after date of Audit Report. Transfer to the Federal Records Center and destroy 10 years after date of audit.
7.	GAO Audit Report Files. This file contains a copy of draft, letter and published GAO reports and inquiries and all material and correspondence relating to HUD's review, replies to the actions on GAO findings, and statements required by OMB Circular A-50.	Retire to Federal Records Center 3 years after all required actions have been taken, or when volume warrants. Destroy 6 years after all required actions have been taken.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
8.	Investigation Case Files.	
	a. Files are set up by constituent organization within the Department of Housing and Urban Development, ment, type of violations, and by number in consecutive order of receipt.	
	(1) Headquarters	
	(a) Case Files	Transfer case file to Federal Records Center 2 years after case is closed. Destroy 17 years after case is closed.
	(b) (Disposition report, Synopsis or brief report).	Microfilm Disposition report and synopsis or brief of report 2 years after case file is closed. Refile hard copy in case file after film is verified. Retain microfilm on site. Destroy 17 years after case is closed.
	(2) Field Offices	Destroy 1 year after case is closed.
	b. Bulky exhibits, consisting of the originals or signed statements, documents, accounting work papers, and other evidence accumulated during an investigation.	When case is closed, Review bulky exhibits to determine which should be retained. Forward this to Headquarters for inclusion in main file. Return others to those who furnished the material to OIG. Destroy balance of files.
9.	Complaint Files, consisting of matters referred to constituents or other agencies for handling; usually are vague or general in nature as well as allegations or information requiring a preliminary inquiry or interview.	Destroy in agency when 4 years old.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8
AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
10.	Semi-Annual Report to Congress Files. Contain working papers, draft copies and published copy of the report along with the back-up material used to prepare report.	Transfer to Federal Records Center when two years old. Destroy when 7 years old.
11.	<p>Inspection Case Files. These files are inspections of the quality and effectiveness of operations of Inspector General Offices in the field. Inspection case files consist of a Report File and Work Paper File.</p> <p>a. Report Files containing reports of inspection, comments on reports, follow up actions, administrative actions, processing and inspection status records and related correspondence pertaining mainly to investigations of field offices.</p> <p>(1) Headquarters</p> <p>(2) Field Offices</p> <p>b. Work Paper File, consisting of copies of correspondence, drafts of correspondence, pencilled notes, copies of inspection reports.</p>	<p>Destroy when 5 years old.</p> <p>Destroy upon receipt of subsequent report.</p> <p>Destroy upon completion of subsequent inspection.</p>
12.	Hotline Referrals, consisting of matters referred to the Fraud Control Division (FCD) by HUD employees, the General Accounting Office (GAO), Office of Management and Budget (OMB), or other parties through the hotlines maintained by FCD, GAO, and OMB alleging possible fraud, waste or mismanagement.	Destroy in agency 4 years after closing date.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8
AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
13.	Reports	
	a. Daily Work Reports (submitted by co-ops trainees and other situations required by Headquarters and Regional Offices). Serves as an aid in computing time and cost of specific cases.	Destroy when 1 year old.
14.	Cards and Indexes, used as devices to control files, material and information within field.	
	a. Alphabetical Main and See Cards, showing file reference and names of principals, individuals and concerns, appearing in investigative reports of correspondence.	Continuously on an 18 month, cycle, destroy all obsolete or useless cards.
15.	General Subject Files. (Program Records)	
	a. Headquarters	Cut-off Files Annually. Transfer to Federal Records Center when 4 years old. Destroy when 10 years old.
	b. Field Offices	Review annually and destroy any material over 4 years old which has no more value.
16.	General Subject Files (Housekeeping Records) including papers documenting administrative functions as budget, personnel, procurement, supply, travel and transportation and copies of other materials that do not serve as official documentation of the programs or operations of the office.	
	a. Headquarters and Field Offices.	Destroy when 4 years old.

WITHDRAWN



RECORDS DISPOSITION SCHEDULE 8
AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
17.	Previous Participation Experience Check. This is a request for information on individuals or firms who are making application to participate in programs of the Department.	Destroy when 1 year old.
18.	OIG Automated Systems. They include; OIG Audits and Management System (G04), OIG Audit and Investigative Support System (G01), OIG Planning and Operations System (G03), and OIG Investigative Case Management System (G02). Seven files are kept for each system. The retention period for each kind of file is the same in each system.	<p style="text-align: right;">WITHDRAWN</p> <p>(1) Documentation Files Destroy 1 year after system is placed on inactive list.</p> <p>(2) Input Documents and Monthly Reports, maintained in Management Information Division Files. Maintain for 1 year, then destroy if no longer needed for reference.</p> <p>(3) Quarter Ended and Fiscal Year Ended Reports, maintained in Management Information Division Files. Maintain for 3 years, then destroy if no longer needed for reference.</p> <p>(4) Processing Files. Scratch after third up-date cycle.</p>

Format change, only approved by Pluta and Robert Berlin 02/27/85 S.L.S.

RECORDS DISPOSITION SCHEDULE 8

AUDIT AND INVESTIGATION RECORDS

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(5)	Processing files. Those machinereadable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.	Scratch after third update cycle.
(6)	Master files. Constitute the definitive state of a data file in a system at a given time.	
(a)	While the system is operational.	Scratch after third update cycle.
(b)	When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
(7)	All other printings and output reports.	Destroy when superseded, obsolete or no longer needed for reference.