

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-060-09-25</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date received <i>7/21/09</i>	
1 FROM (Agency or establishment) U S. Department of Justice		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of the Inspector General			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Jane H. Alpers <i>Jane H. Alpers</i>	5 TELEPHONE NUMBER 202-616-4550	DATE <i>11-18-09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrienne C. Thomas</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>3</u> page(s) are not needed now for the business for 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="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested			
DATE <i>7/20/09</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Janet A. Patti</i>		TITLE <i>Director, OIGMP</i>
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	<b>Audits, Evaluations and Inspections, and Investigations</b>  The Office of the Inspector General (OIG) was established in the U S Department of Justice (DOJ) on April 14, 1989 The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their numerous and diverse activities The OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness within the Department and its financial, contractual, and grant relationships with others  (SEE ATTACHED)	N1-060-99-11	

**U. S. Department of Justice: Office of the Inspector General  
Audits, Evaluations and Inspections, and Investigations**

**1. AUDIT WORK FILES.**      *Supersedes NI-60-99-11, item 1*

**Description:** This set of records provides the central source for information on audit work conducted by OIG staff or under contract for the OIG. These records provide reasonable assurance that an audit was conducted in accordance with government auditing standards and provide principal support for the auditor's report. This set of records includes, but is not limited to, correspondence, memoranda, supporting work papers, and documents that support resolution of the audit recommendations. This set of records exists for the following types of audit and reviews:

- a. Internal audits and reviews of DOJ programs, operations, and procedures;
- b. External audits and reviews and other alternative products with related correspondence and administrative documentation pertaining to entities doing business with DOJ. Entities generally include, but are not limited to, contractors, grantees, and other third parties having an interest in DOJ programs, operations, and activities; and
- c. Peer reviews conducted by DOJ's OIG Audit Division of audit units in other Offices of the Inspector General by DOJ's OIG.

**Disposition: Temporary.** Cut off at end of fiscal year after all recommendations resulting from an audit are closed. Delete/destroy 10 years after cutoff.

**2. AUDIT REPORTS.**      *Supersedes NI-60-99-11, item 2*

**a. Internal Audit Reports.**

**Description:** Final reports approved by the Inspector General that pertain to internal audits of DOJ programs, operations, and procedures, which were conducted by OIG staff or under contract for the OIG.

**Disposition: Permanent.** Cut off at end of fiscal year in which issued. Transfer to the National Archives 10 years after cutoff.

**b. External Audit Reports.**

**Description:** Final reports pertaining to audits of entities external to the DOJ, including contractors, grantees, and other third parties having an interest in DOJ programs, operations, and activities. Also includes reports of peer reviews conducted by the DOJ OIG.

**Disposition: Permanent.** Cut off at end of fiscal year in which issued. Transfer to the National Archives 10 years after cutoff.

3. **AUDIT FOLLOW-UP.**

**Description:** Records created and received in the process of resolving and closing out the recommendations resulting from an audit or peer review. Peer reviews include those conducted by DOJ's OIG of the audit units in other Offices of the Inspector General or those conducted by other Offices of the Inspector General of DOJ's OIG audit units. Includes, but is not limited to, written comments by agency officials such as those indicating agreement or disagreement on reported findings and recommendations, and those indicating planned corrective actions and dates for achieving those actions. Also includes, but is not limited to, related correspondence, tracking logs, and other materials.

**Disposition: Temporary.** Cut off at the end of the fiscal year after all recommendations resulting from an audit have been closed. Destroy/delete 10 years after cutoff.

4. **EVALUATION AND INSPECTION WORK FILES.**

*Superseded  
N1-60-99-11, item 3*

**Description:** This set of records contains the Evaluation and Inspections Division's immediate office's official report files and all supporting work papers. These records provide reasonable assurance that a thorough review was conducted and provide principal support for the OIG report. This set of records includes, but is not limited to, correspondence, memoranda, supporting work papers, and records created and received in the process of resolving and closing out the recommendations resulting from an evaluation or inspection. Examples of recommendations-related records are written comments by agency officials such as those indicating agreement or disagreement on reported findings and recommendations and those indicating planned corrective actions and dates for achieving those actions.

**Disposition: Temporary.** Cut off at the end of the fiscal year in which all recommendations resulting from an evaluation or inspection are closed. Delete/destroy 10 years after cutoff.

5. **EVALUATION AND INSPECTION REPORTS.**

*Superseded N1-60-99-11, item 4*

**Description:** Final reports approved by the Inspector General.

**Disposition: Permanent.** Cut off at the end of the fiscal year in which issued. Transfer to the National Archives 10 years after cutoff.

6. **INVESTIGATION CASE FILES.**

**General Description:** Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases relate to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency.

a. **INVESTIGATION CASE FILES – INVESTIGATIONS OF SIGNIFICANT VALUE.**

**Description:** Record copy of the case file for investigations of significant value. This set of records includes but is not limited to: the investigative report and related documents, such as

correspondence, notes, attachments, and working papers; and investigative records relating to employee and hotline complaints and other miscellaneous complaints. It also includes records created and received in the process of resolving and closing out the recommendations resulting from an investigation, such as written comments by agency officials such as those indicating agreement or disagreement on reported findings and recommendations, and those indicating planned corrective actions and dates for achieving those actions.

*Note:* An investigation of significant value is one that:

- Attracts national media attention;
- Results in a congressional investigation;
- Confirms serious allegations involving high-level DOJ personnel; or
- Results in substantive changes to DOJ policies and procedures.

*item already approved  
in 101-60-99-11,  
item 5a  
-FF*

Examples of significant value investigations include the investigation of the Removal of Nine U.S. Attorneys in 2006 and the investigation into the FBI's Use of National Security Letters. Significant cases will be selected by the OIG based on the criteria listed in this item.

**Disposition: Permanent.** Cut off at the end of the fiscal year after all investigation recommendations are closed. Transfer to the National Archives 10 years after cutoff.

b. **INVESTIGATION CASE FILES – NO SPECIFIC INVESTIGATION CONDUCTED.**

**Description:** Information or allegations which are of an investigative nature, but do not relate to a specific investigation conducted by the OIG. Includes anonymous or vague allegations not warranting an investigation, matters referred to constituents or other agencies for handling, and supporting general information which may prove useful in OIG investigations.

**Disposition: Temporary.** Cut off at the end of the fiscal year after closing. Delete/destroy 5 years after cutoff.

c. **INVESTIGATION CASE FILES – ALL OTHER INVESTIGATION CASE FILES.**

**Description:** All other investigative case files not covered by Items 6a and 6b. This set of records includes but is not limited to: the investigative report and related documents, such as correspondence, notes, attachments, and working papers; and investigative records relating to employee and hotline complaints and other miscellaneous complaints.

**Disposition: Temporary.** Cut off at the end of the fiscal year after closing. Delete/destroy 10 years after cutoff.

*Supersedes  
NI-60-99-11,  
item 5b*

*Supersedes  
NI-60-99-11,  
item 5c*