REQUEST FOR RECORDS DISPOSITION AUTHORITY

To NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHEI ROAD, COLLEGE PARK, MD 20740-6001

1 FROM (Agency or establishment)
U S Department of Justice

2 MAJOR SUBDIVISION
Office of the Inspector General

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Jane H Alperson

5 TELEPHONE NUMBER
202-616-4550

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 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,

☐ is not required ☐ is attached, or ☐ has been requested

DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE

Office of Records Management Policy

7 ITEM NO

8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

Audits, Evaluations and Inspections, and Investigations

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

9 GRS OR SUPERSEDED JOB CITATION
N1-060-99-11, Item 5a and N1-060-09-25

10 ACTION TAKEN

(SEE ATTACHED)

STANDARD FORM 115 (REV 3-91)
Prescribed by NARA 36 CFR 1228
1. **AUDIT WORK FILES.**

**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,

   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 the end of the fiscal year in which all recommendations resulting from an audit are closed. Delete/destroy 15 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

2. **AUDIT REPORTS.**

   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 the official record copy to the National Archives 15 years after cutoff along with the associated follow-up file, as applicable.

   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.
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** PERMANENT Cut off at the end of the fiscal year in which all recommendations resulting from an audit have been closed. Transfer the official record copy to the National Archives 15 years after cutoff along with the associated final audit report.

4. EVALUATION AND INSPECTION WORK FILES.

**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 15 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

5. EVALUATION AND INSPECTION REPORTS.

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

**Disposition** PERMANENT Cut off at the end of the fiscal year in which all recommendations resulting from an evaluation or inspection are closed. Transfer the official record copy of the final report to the National Archives 15 years after cutoff when the associated follow-up records are transferred.
6. **EVALUATION AND INSPECTION FOLLOW-UP**

**Description**: E-copies and hard copy records created and received in the process of resolving and closing out the recommendations resulting from an evaluation or inspection. 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**: PERMANENT. Cut off at the end of the fiscal year in which all recommendations resulting from an evaluation or inspection are closed. Transfer the official record copy of follow-up materials pertaining to closed evaluation or inspection reports to the National Archives 15 years after cutoff when the associated report is transferred.

7. **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

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 in which all recommendations resulting from a review are closed. Transfer the official record copy to the National Archives 25 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 during which the complaint was dispositioned. Delete/destroy 5 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

supersedes N1-60-09-25 Item 5b

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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 complaint.

**Disposition** TEMPORARY Cut off at the end of the fiscal year during which the case was closed. Delete/destroy 25 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

supersedes N1-60-09-25 Item 5c
## COMPARISON OF EXISTING AND PROPOSED SCHEDULES FOR NON-SYSTEM OIG RECORDS

<table>
<thead>
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<th>Currently Proposed Disposition</th>
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| **Audit Working Files** | 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. | Disposition TEMPORARY Cut off at the end of the fiscal year in which all recommendations resulting from an audit are closed. Delete/destroy 15 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. |
<p>| <strong>Internal Audit Reports</strong> | 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. | Disposition PERMANENT Cut off at end of fiscal year in which issued. Transfer the official record copy to the National Archives 15 years after cutoff along with the associated follow-up file, as applicable. |
| <strong>External Audit Reports</strong> | 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. | Disposition PERMANENT Cut off at end of fiscal year in which issued. Transfer the official record copy to the National Archives 15 years after cutoff along with the associated follow-up file, as applicable. |</p>
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<tr>
<td>Audit Follow-Up</td>
<td>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.</td>
<td>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.</td>
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<tr>
<td>Evaluation and Inspection Work Files</td>
<td>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.</td>
<td>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.</td>
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<td>Evaluation and Inspection Reports</td>
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## COMPARISON OF EXISTING AND PROPOSED SCHEDULES FOR NON-SYSTEM OIG RECORDS

### File Name  
**Evaluation and Inspection Follow-Up**

### Description  
E-copies and hard copy records created and received in the process of resolving and closing out the recommendations resulting from an evaluation or inspection. 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.

### Current Disposition  
[None, New Item]

### Currently Proposed Disposition  
Disposition PERMANENT Cut off at the end of the fiscal year in which all recommendations resulting from an evaluation or inspection are closed. Transfer the official record copy of follow-up materials pertaining to closed evaluation or inspection reports to the National Archives 15 years after cutoff when the associated report is transferred.

### File Name  
**Investigation Case Files—Investigations of Significant Value**

### 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.

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.

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.
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<tr>
<td><strong>Investigation Case Files—No Investigation Conducted</strong></td>
<td>Letters: Significant cases will be selected by the OIG based on the criteria listed in this item</td>
</tr>
<tr>
<td>Description</td>
<td>Disposition: TEMPORARY Cut off at the end of the fiscal year after closing, delete/destroy 5 years after cutoff</td>
</tr>
<tr>
<td><strong>Investigation Case Files—All Other Case Files</strong></td>
<td>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</td>
</tr>
<tr>
<td>Description</td>
<td>Disposition: TEMPORARY Cut off at the end of the fiscal year after closing, delete/destroy 10 years after cutoff</td>
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</tbody>
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Currently Proposed Disposition:
- Letters: TEMPORARY Cut off at the end of the fiscal year during which the complaint was dispositioned, delete/destroy 5 years after cutoff or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.