

REC-2/3/00

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|--|---|---|--|---|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>   |   |   | JOB NUMBER<br><i>N1.64.00.4</i>  |   |
| TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001   |   |   | Date received<br><i>2.3.00</i>   |   |
| 1 FROM (Agency or establishment)<br>National Archives and Records Administration   |   |   | <b>NOTIFICATION TO AGENCY</b><br><br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |   |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<br>Office of the Inspector General (OIG)   |   |   |  |   |
| 3 MINOR SUBDIVISION  |   |   |  |   |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br><br>Laurence Patlen   |   | 4 TELEPHONE NUMBER<br><br>(301) 713-7330 x225                 | DATE<br><br><i>7-6-00</i>  | ARCHIVIST OF THE UNITED STATES<br><br><i>John W. Carl</i> |
| 5 AGENCY CERTIFICATION<br>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>2</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<br><b>FEB 2 2000</b>  |   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Richard W. Mansy</i> |  | TITLE<br><i>Records Officer</i>                           |
| 7 ITEM NO  | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  | 9 GRS OR SUPERSEDED JOB CITATION                              | 10 ACTION TAKEN (NARA USE ONLY)  |   |
|  | Records of the Office of the Inspector General (OIG)<br><br>-- Continued on attachment -- |   |  |   |

**Item No., Description of Item and Proposed Disposition**

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**1. 1206 Audit Case Files.**

Case files of internal audits on NARA programs, operations and procedures, and audits conducted on contractors. Records consist of audit reports, correspondence, and supporting work papers. Files are maintained by the Office of the Inspector General (OIG).

Cut off annually after completion of final report Hold 2 years and retire to records center  
Destroy 8 years after cutoff

**2. 1208 Investigative Case Files**

Case files developed during investigations of known or alleged fraud and abuse and irregularities and violations of laws and regulations. Cases relate to agency personnel and programs and operations administered or financed by the agency, including contractors and others having a relationship with the agency This includes investigative files relating to employee and hot line complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and working papers

**2a. 1208-1 - Files containing information or allegations which are of an investigative nature but do not relate to a specific investigation They include anonymous or 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 investigations**

Cut off annually Destroy when 15 years old

**2b. 1208-2 - 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 file when case is closed. Cut off inactive file at end of fiscal year  
Destroy 15 after cutoff

\*NOTE. Significant case files, i.e., those that result in national media attention, Congressional investigation, and/or substantive changes in agency policy or procedure are not covered by this schedule

Cut off inactive file at end of fiscal year, hold 5 years and submit a SF 115 to NWML, via the NARA Records Officer. (NARA will determine their disposition on a case-by-case basis.)

**3. Audit and Investigative case files - Electronic Mail and Word Processing System Copies**

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

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- 3a.** 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

- 3b** 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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