

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		LEAVE BLANK (NARA use only)	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER <b>NI-173-07-2</b>	
1. FROM (Agency or establishment) <b>Federal Communications Commission</b>		Date Received <b>8/10/07</b>	
2. MAJOR SUB DIVISION <b>Office of Inspector General</b>		NOTIFICATION TO AGENCY	
3. MINOR SUB DIVISION		In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved	
4. NAME OF PERSON WITH WHOM TO CONFER Shoko B. Hair		5. TELEPHONE (202) 418-1379	DATE <b>8/21/07</b>
6. <b>AGENCY CERTIFICATION</b> 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 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,		ARCHIVIST OF THE UNITED STATES <i>Ala W...</i>	
<input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.		DATE August 7, 2007	
SIGNATURE OF AGENCY REPRESENTATIVE <i>Shoko B. Hair</i>		TITLE Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION See attachment.	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

*Re 6/5/08 copies sent to agency, NWMB, & NWCT*

**Note: The proposed disposition instructions apply to records in all media and formats unless otherwise noted.**

## OFFICE OF INSPECTOR GENERAL (OIG)

### 1. Investigative Files

Investigative files may include: case files developed during investigations of known or alleged fraud, waste, and abuse or their irregularities or violations of law and regulations; case files related to programs and operations administered or financed by the FCC, including contractors and others doing business with the FCC; investigative files related to FCC hotline complaints, and other miscellaneous complaint files; and information on individuals, including present and former Federal Communications Commission employees, who are or have been the subject of general investigations conducted by the OIG relating to allegations raised pertaining to fraud, waste, and abuse with respect to programs and operations of the Commission. Files consist of investigative reports and related documents, which may include such information as correspondence, notes, attachments, and working papers.

Case files of significant value because the case attracts substantial national media attention, results in a Congressional investigation, or results in substantive changes in agency policies and procedures. *This series is paper only.*

**Disposition: PERMANENT.** Cut off closed files at the end of each fiscal year. Retire to FRC five years after cutoff. Transfer to the National Archives 25 years after cutoff.

*Note: This file contains FOIA and Privacy Act restrictions.*

All other investigative case files not deemed to be of significant value.

**Disposition: Temporary.** Cut off closed files at the end of each fiscal year. Retire to FRC five years after cutoff. Destroy 10 years after cutoff.

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 that may prove useful in OIG investigations.

**Disposition: Temporary.** Cut off closed files at the end of each fiscal year. Retire to FRC five years after cutoff. Destroy seven years after cutoff.

### 2. Audits

Case files of audits which include evaluation of FCC programs and operations to determine whether or not information is reliable; resources have been safeguarded, funds have been expended in a manner consistent with related laws, regulations, and policies; resources have been managed economically and efficiently; addressed program results have been achieved. Audits may include the Commission's financial management program, program management processes (including the universal service fund), information systems, and contracting process. Files consist of audit reports, correspondence, memoranda, and supporting working papers.

**Disposition: Temporary.** Cut off files for which all audit recommendations are closed at the end of each fiscal year. Retire to FRC three years after cutoff. Destroy eight years after cutoff.

### 3. Semi-Annual Reports

The Semi-Annual Report summarizes the activities of the OIG during the six-month periods ending March 31 and September 30. The report is submitted to Congress by the Chair. The report includes description of significant problems, abuses, and deficiencies relating to the administration of the FCC's programs and operation; audit recommendations for corrective action; matters referred to authorities and the results of those prosecutions; closed investigations; statistical tables demonstrating the dollar results of the OIG's internal program audits and contract audits performed during the reporting period. *This series is paper only.*

**Disposition: PERMANENT.** Cut off at the end of the fiscal year in which report is completed. Transfer to the National Archives five years after cutoff.

### 4. Strategic Plan

The Strategic Plan discusses major program areas of the agency. These files contain OIG's strategic plans on which the OIG plans to focus. Official files are maintained by the Office of the Managing Director. OIG maintains duplicates.

**Disposition: Temporary.** Cut off at end of fiscal year completed. Destroy three years after cutoff.

### 5. Annual Audit Plan

The annual audit plan is a formal document outlining the audit workload and audit resources for the current fiscal year. *This series is paper only.*

**Disposition: PERMANENT.** Cut off at end of fiscal year completed. Transfer to the National Archives five years after cutoff.

### 6. General Letters and Correspondence

These files contain the official copy of all general outgoing letters and correspondence signed by the Inspector General on various subject matters, including compliance with various federal statutes, data calls, and the Federal Activities Inventory Reform Act of 1998. Files are arranged chronological.

**Disposition: Temporary.** Cut off at end of fiscal year. Destroy three years after cutoff.