**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

(See instructions on separate page)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

<table>
<thead>
<tr>
<th>1. FROM (Agency or establishment)</th>
<th></th>
<th>2. MAJOR SUBDIVISION</th>
<th></th>
<th>3. MINOR SUBDIVISION</th>
<th></th>
<th>4. NAME OF PERSON WITH WHOM TO CONFER</th>
<th></th>
<th>5. TELEPHONE</th>
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<th>6. AGENCY CERTIFICATION</th>
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<tr>
<td>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 now needed 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,</td>
</tr>
<tr>
<td>X is not required;</td>
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DATE 9/27/04  
SIGNATURE OF AGENCY REPRESENTATIVE, Larry Mills  
TITLE Records Officer

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<tr>
<th>7. ITEM NO.</th>
<th>8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</th>
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<tbody>
<tr>
<td>1</td>
<td>OIG - See attachment.</td>
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<th>9. GRS OR SUPERSEDED JOB CITATION</th>
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<tr>
<td>N1-266-99-1 (Office of Inspector General)</td>
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<th>10. ACTION TAKEN (NARA USE ONLY)</th>
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STANDARD FORM 115 (REV. 3-91)  
PREVIOUS EDITION NOT USABLE  

8/13/07 copies sent to AGENCY.
Investigative Files

Case files developed during investigations of known or alleged fraud, abuse, and misconduct or violations of laws or regulations. Cases relate to Commission personnel, programs, and operations administered or financed by the Commission, including contractors and others having a relationship with the Commission. Investigative files also include investigative peer review files, which document the conduct of peer reviews of investigation units in other Inspector General Offices by SEC's Office of Inspector General (OIG), or of SEC's OIG investigation units by an external OIG. Files consist of investigative reports and related documents, such as correspondence, notes, attachments, and background and working files.

(a) Case files of significant historical value, i.e., those that involve the Chairman, Commissioners, or other senior agency officials as subjects, and result in serious disciplinary action or substantive changes to agency policy, or draw Congressional interest or national media attention. Disposition PERMANENT. Cut off closed cases at the end of the fiscal year. Transfer to Federal Records Center (FRC) 2 years after cutoff. Transfer to the National Archives and Records Administration (NARA) 10 years after cutoff (N1-266-99-1 item 1(a)).

(b) All other investigative files not covered by item (a). Disposition TEMPORARY. Cutoff closed cases at the end of the fiscal year. Transfer to the Federal Records Center (FRC) 2 years after cutoff. Destroy 10 years after cutoff (N1-266-99-1 item 1(b)).

(c) Files containing information or allegations of an investigative nature, that do not result in the establishment of a formal case file. The files, which may be denominated "Preliminary Inquiries" or "Miscellaneous Complaints", cover anonymous or vague allegations not warranting a full investigation, matters referred to other components of the Commission or other agencies for handling, and support files providing general information which may prove useful in Inspector General investigations. Disposition TEMPORARY. Cutoff at the end of each fiscal year. Destroy/delete 3 years after cutoff (N1-266-99-1 item 1(c)).

Audit Files

Audit files for audits and evaluations that assist management in identifying, analyzing, and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. Audit files also include audit peer review files, which document the conduct of peer reviews of the audit units in other Inspector General Offices by SEC's Office of Inspector General (OIG), or of SEC's OIG audit units by an external OIG.

(a) Final Reports. Disposition PERMANENT. Cutoff at the end of the fiscal year in which issued. Transfer to NARA 10 years after cutoff (N1-266-99-1 item 2(a)).

(b) Records created or acquired during the course of the audit and the development of the final report, including notes and work files. Disposition TEMPORARY. Cutoff at the end of the fiscal year. Destroy/delete 10 years after the end of the fiscal year in which the final report is issued (N1-266-99-1 item 2(b)).
3 Casetrak (Investigative Tracking System)  

Restrictions  This system contains information restricted under the Privacy Act  

(a) Input  Data entry keyed in by the Counsel to Inspector General  Source documents are complaints that lead to an investigation  Complaints can come in many forms, including electronic mail, fax, phone call, etc  

1 Complaints to be included in case file Disposition PERMANENT Approved as N1-266-05-2 item 1(a)  

2 Complaints to be included in case file Disposition TEMPORARY Approved as N1-266-05-2 item 1(b)  

(b) Master File  The master file is an EXCEL spreadsheet used by the Office of Inspector General to track open, closed, and pending investigations  The system contains investigation information for each case such as the case number, subject name, date opened, allegations, whether the case was referred to the Department of Justice, and whether it was referred to the Commission  Disposition TEMPORARY Cut off when system is superseded or obsolete  Delete three years after cut off  

(c) Output  

1 Ad hoc reports to be included in case file Disposition PERMANENT Approved as N1-266-05-2 item 1(a)  

2 Ad hoc reports to be included in case file Disposition TEMPORARY Approved as N1-266-05-2 item 1(b)  

3 Ad hoc reports that are not included in case files Disposition TEMPORARY Destroy/Delete when superseded or obsolete  

4 Audit Recommendation Tracking System (ARTS)  

(a) Audit Recommendation Tracking System (ARTS) - The ARTS database tracks audit recommendations from proposal to implementation of the recommendation as acknowledged by the Executive Director of the Securities and Exchange Commission  This system tracks data, such as the audit number, audit title, the date started, recommendations, primary staff, funds put to better use, questioned cost, milestones, and the completion date for each milestone, and a comment field  

1 Inputs  Audit recommendation information from audit reports is keyed in by the OIG Office of the Executive Director staff members also key in data regarding the implementation of audit recommendations after the audit is closed Disposition PERMANENT Approved as N1-266-05-2 Item 2 (a)
2 Master File  Access database that contains audit information such as a summary of the audit recommendations, the offices affected, questioned costs, and implementation status  
Disposition  TEMPORARY  Cut off when system is superseded or obsolete  Delete three years after cut off

3 Outputs  Ad-hoc reports, such as pending audit recommendations and status of recommendations  The information from these reports is used for various reasons, such as semi-annual reports to Congress  
Disposition  TEMPORARY  Delete/destroy when no longer needed for current business

4 Documentation  
Disposition  TEMPORARY  Cut off when system is superseded or obsolete  Delete three years after cut off

(b) ROSTER  Roster is a management tool used in conjunction with the ARTS system to track audit assignments in the Office of Inspector General

1 Inputs  Data is keyed in by OIG  
Disposition  N/A  There is no source document

2 Master File  Access database containing information regarding audits dating back to 1984  Data includes audit number, report type, date started, date issued, and primary staff  
Disposition  TEMPORARY  Cutoff at close of audit  Destroy/delete 3 years after cutoff

3 Outputs  Ad-hoc reports relating to audit assignments and status of assignments  The information from these reports is used for various reasons, such as semi-annual reports to Congress  
Disposition  TEMPORARY  Delete/destroy when no longer needed for current business

4 Documentation  
Disposition  TEMPORARY  Cut off when system is superseded or obsolete  Delete three years after cut off