

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See instructions on separate page)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>N1-266-05-2</i>	
1 FROM (Agency or establishment) U S Securities and Exchange Commission		DATE RECEIVED <i>6/29/05</i>	
2 MAJOR SUBDIVISION Office of Filings and Information Services		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disposition request including amendments is approved except for items that may be marked 'disposition not approved' or 'withdrawn' in column 10	
3 MINOR SUBDIVISION Office of Investor Education and Assistance			
4 NAME OF PERSON WITH WHOM TO CONFER Larry Mills	5 TELEPHONE (202) 942-7805	DATE <i>2/8/07</i>	ARCHIVIST OF THE UNITED STATES <i>Ann W. ...</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 _____ 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,

is not required, is attached, or has been requested

DATE <i>9/27/04</i>	SIGNATURE OF AGENCY REPRESENTATIVE Larry Mills <i>Larry Mills</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	OIG - See attachment	N1-266-99-1 (Office of Inspector General)	

SA 3/13/07 copies sent to Agency, NWMD, NOME, NAMW, NR, NWCTC

SECURITIES AND EXCHANGE COMMISSION

Office of Inspector General

1. 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. Cutoff 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))

2. 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