

Request for Records Disposition Authority

Records Schedule Number DAA-0269-2015-0002
Schedule Status Approved

Agency or Establishment General Services Administration
Record Group / Scheduling Group General Records of the General Services Administration
Records Schedule applies to Major Subdivision
Major Subdivision Office of Inspector General
Schedule Subject Records of the Office of Inspector General (269.4)
Internal agency concurrences will be provided No

Background Information

Office of Inspector General (OIG) Records include documentary material accumulated in providing administrative, operational, legal, policy, and planning support for the Inspector General function, such as summaries, status reports, planning documents, tracking information, analyses, inventories, memoranda, correspondence, and legal advice. Additionally, the OIG oversight functions of promoting economy, efficiency, and effectiveness, and detecting and preventing waste, fraud, and abuse, as set forth by the Inspector General Act of 1978, as amended, are captured through documentary material accumulated during audits, investigations, and inspections of GSA programs and operations. These materials fall within the following three major categories:

Audit Records. These records consist of audit reports and supporting documentation derived from auditing GSA's programs and operations. These records include reports and supporting documentation such as work papers, spreadsheets analyses, summaries, tables, memoranda, and related correspondence, as well as material created in performing the audit function.

Investigative Records. These records consist of investigative reports and supporting documentation derived from investigations alleged of fraud, abuse, irregularities, or violations of law. Cases relate to programs and operations administered or financed by GSA, including agency personnel, contractors, and others having a relationship with the agency. An investigation may result in referral for criminal prosecution, civil adjudication, or administrative action. Records include subpoenas, interview and activity reports, summaries,

photographs, and electronic recordings, as well as documentation accumulated in planning and performing the investigative function.

Inspection and Forensic Auditing Records. These records consist of reports and supporting documentation accumulated in inspecting and using forensic auditing (multidiscipline, innovative technologies) to review agency programs and operations for potentially fraudulent, improper, wasteful, or abusive activities, as well as while performing OIG internal quality assurance operations, such as operational assessments, Federal Managers' Financial Integrity Act (FMFIA) activities, and purchase card suspicious activity queries. These records include reports and supporting documentation such as work papers, spreadsheets, analyses, summaries, tables, photographs, video recordings, interview and activity reports, memoranda, and related correspondence, as well as material created to perform inspection and forensic auditing function.

These records may contain law enforcement sensitive, Uniform Trade Secrets Act, confidential commercial information, and/or Privacy Act information as well as materials sealed by court order.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	1	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0269-2015-0002

Sequence Number	
1	269.4 Office of Inspector General Records
1.1	010 - IG Significant Records Disposition Authority Number: DAA-0269-2015-0002-0001
1.2	011 - IG Significant Case Files Resource Material Disposition Authority Number: DAA-0269-2015-0002-0002
1.3	021 - IG Standard Case Files Disposition Authority Number: DAA-0269-2015-0002-0003
1.4	022 - IG Standard Case File Resource Material Disposition Authority Number: DAA-0269-2015-0002-0004
1.5	023 - Raw Data of No Substantive Value Disposition Authority Number: DAA-0269-2015-0002-0005
1.6	031 - IG Program Management Files Disposition Authority Number: DAA-0269-2015-0002-0006
1.7	032 - Records of IG Legal Advice, Legal Assistance, and GSA Litigation Matters Disposition Authority Number: DAA-0269-2015-0002-0007

Records Schedule Items

Sequence Number	
1	<p>269.4 Office of Inspector General Records</p>
1.1	<p>010 - IG Significant Records</p> <p>Disposition Authority Number DAA-0269-2015-0002-0001</p> <p>Reports, source material cited in those reports, and correspondence associated with significant audit, investigation, and inspection case files. These files qualify as significant because they meet one or more of the following criteria:</p> <ul style="list-style-type: none"> • Attract substantial media attention (national or regional media). • Resulted in a Congressional investigation or hearing. • Resulted in substantive changes in agency policy or procedures. • Involved allegations made against senior agency officials, other than frivolous allegations that did not result in a sustained investigation. <p>Also included is the Semiannual Report (SAR) to Congress, required by section 5(a) of the Inspector General act of 1978, as amended.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-269-90-002 / 22A50/a N1-269-01-001 / 03A56/b/1/A N1-269-01-001 / 03A56/b/1/B N1-269-01-001 / 03A56/c/A N1-269-01-001 / 03A56/b/1/C</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off significant case files at the end of the fiscal year when the case is closed or no longer contested. For Semiannual Reports to Congress, cut off at the end of the fiscal year after publication of the final report.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 years after cutoff. Longer retention is authorized if needed for business purposes, but no later than 40 years after cutoff.</p> <p>Additional Information</p>

What will be the date span of the initial transfer of records to the National Archives? **From 1978 To 2001**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

011 - IG Significant Case Files Resource Material

Disposition Authority Number **DAA-0269-2015-0002-0002**

Materials related to individual case files and the semi-annual report gathered over the course of an audit, investigation, inspection, or in the production of a report, that are not incorporated directly into, or become referenced in the particular report or case file. These records include, but are not limited to, collected data, data dumps, correspondence, spreadsheets, summaries, tables, photographs, audio/visual recordings and materials determined as not useful to the case at hand.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GRS or Superseded Authority Citation **NC1-269-82-003 / 22A50/b**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested.**

1.3

Retention Period Destroy 3 years after cutoff. Longer retention is authorized, but no longer than 12 years after cutoff.

Additional Information

GAO Approval Not Required

021 - IG Standard Case Files

Disposition Authority Number DAA-0269-2015-0002-0003

Reports, source material cited in the report, and related correspondence developed during audits, investigations, inspections and forensic auditing of GSA programs and operations. Reports for these case files do not meet the "significant" criteria listed in item 0001. These records include reports and supporting documentation, such as workpapers, interview and activity reports, spreadsheets, analyses, summaries, tables, photographs, video recordings, memoranda, and related correspondence used in the course of an audit, investigation, or inspection.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation
N1-269-99-001 / 03A25/a
N1-269-99-001 / 03A56/a
N1-269-99-001 / 03A56/b
N1-269-01-001 / 03A56/a/1
N1-269-01-001 / 03A56/a/3
N1-269-01-001 / 03A56/b/2/A
N1-269-01-001 / 03A56/b/2/C
N1-269-01-001 / 03A56/c/A
N1-269-05-001 / 3

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested.

Retention Period Destroy 8 years after cut-off. Longer retention is authorized if still needed for business purposes, but no longer than 40 years.

Additional Information

GAO Approval Not Required

1.4

022 - IG Standard Case File Resource Material

Disposition Authority Number DAA-0269-2015-0002-0004

Materials related to individual case files gathered over the course of an audit, investigation, or inspection that are not incorporated directly into, or become referenced in the particular report. These records include, but are not limited to, working papers, correspondence, memoranda, interview and activity reports, spreadsheets, analyses, summaries, tables, photographs, and audio/visual recordings and materials.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

GRS or Superseded Authority
Citation N1-269-01-001 / 03A56/a/2
N1-269-01-001 / 03A56/b/2/B

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested.

Retention Period Destroy 3 years after cutoff. Longer retention is authorized, but no longer than 12 years after cutoff.

Additional Information

GAO Approval Not Required

1.5

023 - Raw Data of No Substantive Value

Disposition Authority Number DAA-0269-2015-0002-0005

This is large volume information received in bulk from external and internal sources that goes through a sorting process and is determined to have no substantive value on the case. Information determined as substantative to the case becomes incorporated into the related case file

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

1.6

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year when the case file is no longer contested.

Retention Period Destroy 3 years after cutoff. Earlier destruction is authorized if no longer needed.

Additional Information

GAO Approval Not Required

031 - IG Program Management Files

Disposition Authority Number DAA-0269-2015-0002-0006

These records include material accumulated in providing administrative, operational, and planning for management and support of the OIG audit, investigation, and inspection functions. The records include audit, investigation, and inspection guidance, instructions, planning, programmatic reports and reviews. Also included are OIG-issued subpoenas and related materials; tracking information, summaries, status reports, analyses, inventories, memoranda, correspondence and related records.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-269-82-003 / 22A1
NC1-269-82-003 / 22A10
NC1-269-82-003 / 22A15
NC1-269-82-003 / 22A20
NC1-269-82-003 / 22A40
NC1-269-82-003 / 22A45
NC1-269-82-003 / 22A55
N1-269-04-001 / 1
N1-269-05-001 / 4

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year.

Retention Period Destroy 3 years after cutoff. Longer retention is authorized for business or reference purposes, but no longer than 10 years after cutoff.

1.7

Additional Information

GAO Approval Not Required

032 - Records of IG Legal Advice, Legal Assistance, and GSA Litigation Matters

Disposition Authority Number DAA-0269-2015-0002-0007

These records include the legal advice created by the Office of the Inspector General on specific or evergreen topics. These records include legal advice provided by the Inspector General and OIG components as well as requests for information made of the OIG. The records include correspondence, reference materials used to support the advice, the actual response, and any related material to the topic. Records are maintained in a subject file format and are not specific to any case file. Records include, but are not limited to, requests related to discovery and disclosure requests, and any requests for documents not otherwise scheduled. Also included are records of legal assistance rendered to the Inspector General or OIG component pertaining to employee grievances and other contested personnel matters.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation
N1-269-05-001 / 1
N1-269-05-001 / 5/a
N1-269-05-001 / 5/b
N1-269-05-001 / 6
N1-269-05-001 / 7/a
N1-269-05-001 / 7/b

Disposition Instruction

Cutoff Instruction Cut off at the end of the fiscal year.

Retention Period Destroy 10 years after cutoff. Longer retention is authorized if needed for business or reference purposes.

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/27/2015	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
04/11/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/11/2016	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
04/13/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
08/17/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/11/2016	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
10/12/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
12/21/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/21/2016	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
12/22/2016	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer -

				Office of Policy and Compliance
02/03/2017	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/07/2017	Submit For Certification	David Simmons	Knowledge Management Specialist	Public Buildings Service - All os Region 5 GSA
02/07/2017	Certify	Robert Smudde	National Records Officer	Office of the Chief Information Officer - Office of Policy and Compliance
03/29/2017	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/05/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/05/2017	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/07/2017	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Record

New Item	New Title	New Retention	Current GSA Number	Old DA	Description	Type	Previous Retention	Notes
010	IG Significant Records (0001)	Permanent. Cut off significant case files at the end of the fiscal year when the case is closed or no longer contested. For Semiannual Reports to Congress, cut off at the end of the fiscal year after publication of the final report. Transfer to NARA 15 years after cutoff. Longer retention is authorized if needed for business purposes, but no longer than 40 years after cutoff.	03A030a	N1-269-90-002 / 22A50/a	Semiannual report to the Congress. Documents accumulated in the compilation of summary data on Inspector General activities and achievements during the first and second 6-month periods of each fiscal year. a. Final report (record set only).	P	Permanent. Cut off semiannually, hold 5 years, and retire to FRC. Transfer to NARA 10 years after cutoff in 5-year blocks. NOTE: Destroy other copies in office space when no longer needed for reference.	
			03A056b(1)A	N1-269-01-001 / 03A56/b/1/A	(1) Case files of significant value. A case has significant value when: the case attracts substantial national or regional media attention; the case results in a Congressional investigation; the case results in substantive changes in agency policies and procedures; or the case involves allegations made against senior agency officials other than frivolous allegations that did not result in a sustained investigation. Senior agency officials includes the Administrator, Associate Administrators, and directors of major agency components. A. Paper case file.	P	Permanent. Transfer 7 years after cutoff.	As originally written, schedule item N1-269-01-001 / 03A56/b/1/A assumed that all IG case files deemed "significant" would be captured as permanent records. The IG's office created and scheduled three types of case files; audit, investigation, and inspection. The item description for DAA-0269-2015-0002-0001, was written specifically include the three types of case files so as to eliminate this ambiguity.
				Not previously scheduled	New record type. Significant inspection case files.			Inspection case files were not previously identified and specifically described in previous schedules. This new record type has been specifically included in the description under DAA-0269-2015-0002-0001 and DAA-0269-2015-0002-0003 to accommodate the identification and proper retention of Inspection case files
			03A025a	N1-269-99-001 / 03A25/a	Audit Case Files. Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Included are audit reports, correspondence, memoranda, and related information.	T	Temporary. Cut off at the end of the fiscal year in which case is closed, hold 2 years and retire to FRC. Destroy 8 years after cutoff.	All Audit case files were previously scheduled as temporary under N1-269-99-001/03A25/a. These records have been included in the description for DAA-0269-2015-0002-0001 to allow for the identification and permanent retention of significant Audit case files. Routine Audit case files will be maintained under DAA-0269-2015-0002-0003.
				N1-269-01-001 / 03A56/c/A	(A) Master file. Case specific data.	T	Temporary. Destroy case specific information at the same time as destruction of electronic imaged version of the related file.	NOTE: This refers to case files that fit the criteria of "significant" where data, as part of an electronic master file, was destroyed concurrently with all other related electronic case file records while retaining a paper or an imaged copy of the significant case file as the permanent record.
			03A056b(1)B	N1-269-01-001 / 03A56/b/1/B	B. Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials, documents under seal by court order, statute or rule, such as grand jury information.)	P	Permanent. Transfer 7 years after cutoff.	NOTE: "Bulky Material" historically meant oversized items (maps, blue prints, thick items, etc.) that did not fit in the standard file folders used in the paper filing system. With the switch to electronic record-keeping over the years, including the use of complex scanners, bulky files selected for use with the significant case file no longer exist separately from the case file, but are now incorporated as material in the actual case file. For "bulky files" that are not selected for use, see 269.4/023 - Raw Data of No Substantive Value.
			03A56b(1)C	N1-269-01-001 / 03A56/b/1/C	(1) Case files of significant value. C. Electronic and/or imaged case file.	T	Temporary. Destroy 7 years after cutoff.	NOTE: Item originally created when paper represented the record copy. This item allowed destruction of any electronic versions of the permanent paper records. This item is superseded and eliminated by item 010 as a media neutral item.

011	IG Significant Case Files Resource Material (0002)	Temporary. Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested. Destroy 3 years after cutoff. Longer retention is authorized, but no longer than 12 years after cutoff.	03A050b	NCI-269-82-003 / 22A50/b	Semiannual report to the Congress. Documents accumulated in the compilation of summary data on Inspector General activities and achievements during the first and second 6-month periods of each fiscal year. b. Records other than the report record set.	T	Temporary. Destroy 5 years after cutoff.	
021	IG Standard Case Files (0003)	Temporary. Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested. Destroy 8 years after cut-off. Longer retention is authorized if still needed for business purposes, but no longer than 40 years after cutoff.	03A056b(2)A	N1-269-01-001 / 03A56/b/2/A	b. Investigative Files ("I Files"). An investigative case is opened when the factual basis of a complaint or allegation warrants such action. An investigative case may result in referral for criminal prosecution, civil adjudication, or administrative action. Investigative files constitute the written agency record evidencing investigative cases, including investigative reports and related documents, such as correspondence, notes, attachments, and background and working files. (2) All other files. Investigative files deemed as not having significant historical value A. Paper case file.	T	Temporary. Scan and destroy paper upon verification of scan.	
				N1-269-01-001 / 03A56/c/A	(A) Master file. Case specific data.	T	Temporary. Destroy case specific information at the same time as destruction of electronic imaged version of the related file.	Note: This refers to standard case files which do not fit the description of a "significant case file" where data, as part of an electronic master file, was destroyed concurrently with all other related electronic case file records.
			10C010	N1-269-05-001 / 3	Fraud Matter Case Files. Records relating to civil or criminal litigation, or the administrative handling, of government instigated matters addressing allegations of waste, fraud, or abuse. These files include False Claims Act cases, such as those brought under the qui tam whistleblower provision. Files include court filings, investigative information, and case-specific correspondence, as well as suspension & debarment information.	T	Close when investigation and/or litigation completed. Destroy 10 years after closing.	
			03A056b(2)C	N1-269-01-001 / 03A56/b/2/C	b. Investigative Files ("I Files"). An investigative case is opened when the factual basis of a complaint or allegation warrants such action. An investigative case may result in referral for criminal prosecution, civil adjudication, or administrative action. Investigative files constitute the written agency record evidencing investigative cases, including investigative reports and related documents, such as correspondence, notes, attachments, and background and working files. (2) All other files. Investigative files deemed as not having significant historical value C. Electronic and/or imaged case file.	T	Destroy 7 years after cutoff.	
			03A056a(1)	N1-269-01-001 / 03A56/a/1	a. "Zero" files, proactive files, and hotline files. Files containing information or allegations of an investigative nature that do not result in the establishment of a formal investigative file. The files cover 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 Inspector General investigations (1) Paper case file.	T	Temporary. Scan and destroy paper upon verification of scan.	
			03A056a(3)	N1-269-01-001 / 03A56/a/3	a. "Zero" files, proactive files, and hotline files. Files containing information or allegations of an investigative nature that do not result in the establishment of a formal investigative file. The files cover 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 Inspector General investigations (3) Electronic and/or imaged case file.	T	Temporary. Destroy electronic version of file three years after closing	
			03A025a	N1-269-99-001 / 03A25/a	Audit Case Files. Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Included are audit reports, correspondence, memoranda, and related information.	T	Temporary. Cut off at the end of the fiscal year in which case is closed, hold 2 years and retire to FRC. Destroy 8 years after cutoff.	

			03A056a	NI-269-99-001 / 03A56/a	Investigative case files. Case files developed during investigations of known or alleged fraud or abuse and irregularities or violations of laws and regulations. Cases relate to GSA personnel and programs and operations administered or financed by GSA, including contractors and other having a relationship with GSA. This includes investigative files relating to employee and Hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents such as correspondence, notes, attachments, and working papers. a. Files containing information or allegations that do not related (sic) to a specific investigations. 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 Inspector General investigations.	T	Temporary. Place in inactive file in case is closed. Cut off at the end of the fiscal year. Destroy 5 years after cutoff.	
			03A056b	NI-269-99-001 / 03A56/b	Investigative case files. Case files developed during investigations of known or alleged fraud or abuse and irregularities or violations of laws and regulations. Cases relate to GSA personnel and programs and operations administered or financed by GSA, including contractors and other having a relationship with GSA. This includes investigative files relating to employee and Hotline complaints, and other miscellaneous complaint files. Files consist of investigative reports and related documents such as correspondence, notes, attachments, and working papers. b. All other investigative files.	T	Temporary. Place in inactive file in case is closed. Cut off at the end of the fiscal year, hold 2 years and retire to FRC. Destroy 10 years after cutoff.	
022	IG Standard Case File Resource Material (0004)	Temporary. Cut off at the end of the fiscal year after the audit, investigation, or inspection is closed or no longer contested. Destroy 3 years after cutoff. Longer retention is authorized, but no longer than 12 years after cutoff.	03A056a(2)	NI-269-01-001 / 03A56/a/2	Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials, documents under seal by court order, statute or rule, such as grand jury information.)	T	Destroy 3 years after closing.	
			03A056b(2)B	NI-269-01-001 / 03A56/b/2/B	Bulky files. (Evidentiary material provided by or received from third parties that constitutes the basis for the information contained in the case file; supporting materials, documents under seal by court order, statute or rule, such as grand jury information.)	T	Destroy 7 years after closing.	
023	Raw Data of No Substantive Value (0005)	Temporary. Cut off at the end of the fiscal year when the case file is no longer contested. Destroy 3 years after cutoff. Earlier destruction is authorized if no longer needed.		Not previously scheduled	New record type.			
031	IG Program Management Files (0006)	Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized for business or reference purposes, but no longer than 10 years after cutoff.	03A001	NC1-269-82-003 / 22A1	Audit guidance. Documents created in preparing, clearing, and issuing instructions and guides for use by auditors in GSA internal and contract audits, but not documents relating to instructions issued under the directives system. Included are record copies of audit guides and instructions, clearance actions, and related reports. Excluded are copies of audit guides included as part of the Audit Case File (03A025)	T	Destroy 3 years after cutoff.	
			03A010	NC1-269-82-003 / 22A10	Audit summaries. Documents created in preparing and circulating summarized information on the status of audit activities, selected audit findings and recommendations, and other audit matters. Included are periodic audit digests and summaries, reports of actions taken as a result of the summaries, and related records.	T	Destroy 3 years after cutoff.	
			03A015	NC1-269-82-003 / 22A15	Audit planning. Documents created in identifying areas for audit, defining the scope of planned audits, and scheduling audits.	T	Destroy 5 years after cutoff.	
			03A020	NC1-269-82-003 / 22A20	Audit report chronological file. Records accumulated for reference and referral to contract audits, internal audits, clearances, and related information. Included are copies of final contract and internal audit reports.	T	Destroy 10 years after cutoff.	

03A040	NCI-269-82-003 / 22A40	Area audit office inspections. Documents accumulated in inspecting the activities of field audit offices for the purposes of increasing operational and administrative effectiveness. Included are inspection reports and related records.	T	Destroy 3 years after cutoff.	
03A045	NCI-269-82-003 / 22A45	Audit administrative subject files. Documents relating to the routine operation and administration of the audit function, but not general administrative files described in appendix 9-C. Included are pertinent laws, copies of contracts or other authoritative documents relating to specific audit functional areas; organizational charts and functional statements; surveys of procedures and controls; statistical tabulations, contractors' financial statements; analyses of cost trends; and significant findings of prior audits in each functional area.	T	Destroy documents when superseded or obsolete.	
	NI-269-04-001 / 1	Operational Reviews. Documents accumulated by the Office of Internal Evaluation (IE) in inspecting the activities of field audit offices, field investigative offices, and other staff offices for purposes of increasing operational and administrative effectiveness. Files include inspection reports, management reviews (such as inspection reports, management control reviews, and preventive reviews) and related records.	T	Temporary. Destroy after subsequent office inspection but no earlier than 3 years after the previous inspection.	
10C015	NI-269-05-001 / 4	Subpoena Files. Records related to the issuance of OIG subpoenas duces tecum and Right to Financial Privacy Act subpoenas, including internal memoranda, research, and copies of the subpoena, and the Office of Counsel cover letter. These files may also contain proof of service and correspondence with subpoenaed parties.	T	Close when production completed. Destroy 10 years after closing.	
03A055	NCI-269-82-003 / 22A55	Subpoenas. Documents created in the issuance and return process of a subpoena duces tecum.	T	Destroy 3 years after cutoff.	
032 IG Legal Advice Records (0007)	Temporary: Cut off at the end of the fiscal year. Destroy 10 years after cutoff. Longer retention is authorized if needed for business or reference purposes.				
	NI-269-05-001 / 6	Legal Advice (10C050) Records accumulated in providing legal advice and counsel to the Inspector General and to OIG components. These files include written legal opinions, legal advice, research, and supporting documents, as well as records generated in providing "informal" legal advice. Records may include advice pertaining suspension and debarment, procurement, appropriations, ethics, public buildings, law enforcement, and Inspector General Act as amended, as well as personnel issues generally and FOIA and Privacy Act issues that do not related to a specific request.	T	Destroy 10 years after file has been closed and follow up has been completed.	Note: FOIA and Privacy Act records mentioned in this item under the proposed schedule will be managed using GRS
10C040a	NI-269-05-001 / 5/a	Disclosure Records. a. Records accumulated in providing legal advice and assistance in responding to requests for information and/or records made of the OIG. Includes Freedom of Information Act (FOIA) and Privacy Act requests, discovery requests in administrative matters involving GSA as a party, such as misconduct matters, MSPB appeals, and matters before the GSBCA, and discovery requests in litigation in which GSA is not a party.	T	Close when disclosure processing completed. For all records except Giglio and Henthorn requests involving OIG personnel, destroy 3 years after closing.	
10C040b	NI-269-05-001 / 5/b	Disclosure Records. b. Giglio and Henthorn requests and responses involving OIG and (for the period prior to its inclusion in the Department of Homeland Security) Federal Protective Service personnel. These files also include requests for documents not encompassed by another category, such as PCIE requests. However these files exclude Congressional requests for information.	T	Cut off closed cases annually. Hold 10 years then destroy unless subject is still employed by OIG, in which case destroy 1 year after subject separates from OIG.	
10C070a	NI-269-05-001 / 7/a	Personnel Legal Assistance Records. These records, filed by employee name, contain documents pertaining to OIG personnel and accumulated in rendering legal assistance to the Inspector General or OIG component on personnel matters. These files may include matters involving an employee grievance, adverse personnel action, tort claim, or other contested matter, including the MSPB, EEOC, DOL, OPM, OSC, and Federal District Court. These files may include Congressional constituent correspondence. a. Terminated, transferred, or separated employees.	T	Close out at conclusion of litigation or after advice given and any follow-up concluded. Hold for 10 years after closing, then destroy unless associate is still employed by OIG.	

Schedule items not superseded because they are no longer valid or are now managed using the GRS

		10C070b	N1-269-05-001 / 7/b	Personnel Legal Assistance Records. These records, filed by employee name, contain documents pertaining to OIG personnel and accumulated in rendering legal assistance to the Inspector General or OIG component on personnel matters. These files may include matters involving an employee grievance, adverse personnel action, tort claim, or other contested matter, including the MSPB, EEOC, DOL, OPM, OSC, and Federal District Court. These files may include Congressional constituent correspondence. b. Employees still employed by OIG after 10 years.	T	Destroy 1 year after employee separates from OIG.	
			N1-269-05-001 / 1	Office Administrative Files - JC Subject Files. Correspondence, memoranda and documents relating to general legal services that, because of their nature, cannot logically be filed in one of the specific categories described in this appendix.	T	Temporary. Review annually, destroy superseded or obsolete records.	
	Reason for invalidation						Note: All GSA records schedules are being superseded in their entirety by a series of new comprehensive records schedules. The purpose of this section of the crosswalk is to account for items leftover from previous schedules that technically were not superseded, but are no longer needed that therefore invalid items
	Superseded by DAA-GRS-2013-0012		N1-269-04-001 / 3/a	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 converted by 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. a. 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.	T	Destroy/delete within 180 days after the recordkeeping copy has been produced.	
	Superseded by DAA-GRS-2013-0012	03A056b(1)C 03A056d 03A025b	N1-269-04-001 / 3/b	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 converted by 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. b. Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.	T	Destroy/delete when dissemination, revision, or updating is completed.	
	Superseded by DAA-GRS-2013-0012		N1-269-05-001 / 8/a	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 converted by 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. a. 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.	T	Destroy/delete within 180 days after the recordkeeping copy has been produced.	
	Superseded by DAA-GRS-2013-0012		N1-269-05-001 / 8/b	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 converted by 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. b. Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.	T	Destroy/delete when dissemination, revision, or updating is completed.	
	Superseded by DAA-GRS-2013-0012		N1-269-01-001 / 03A56d	d. Electronic Mail and Word Processing Versions of Records. Electronic mail and word processing versions of records covered by this schedule (03A056, Investigative Case Files)	T	Delete when file copy generated and when no longer needed for referencing or updating.	

Superseded by DAA-GRS-2013-0012		N1-269-99-001 / 03A25/b	b. Electronic mail and wordprocessing of records.	T	Delete when file is generated and when no longer needed for referencing or updating.	
Superseded by N1-GRS-98-002 / 43 (GRS 23/01)	10C001		Office Administrative Files			
DAA-GRS-2013-0002-0002 (GRS 4.1 / 40)	22A25	NC1-269-82-003 / 22A25	Office Administrative Files - Audit control registers. Documents used to control the assignment of numbers and other identifying data to internal and contract audits and reports. Included are index cards, register sheets, and similar controls.	T	Destroy when superseded or obsolete.	
DAA-GRS-2013-0005-0004 (GRS 3.1 / 020)		N1-269-01-001 / 03A56/e/B	Information technology operations and maintenance records - (B) Outputs. Routine tracking and control reports printed from the system and used for administrative purposes.	T	Temporary. Destroy when no longer needed for business purposes and no later than six months after creation.	
DAA-GRS-2013-0005-0003 (GRS 3.1 / 051)		N1-269-01-001 / 03A56/e/C	All documentation for temporary electronic records and documentation not necessary for preservation of permanent records - (C) System Documentation.	T	Temporary. Destroy when superseded, obsolete, or no longer of use to the agency, whichever is later.	