

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER NI-339-08-1	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received 9/15/08	
1 FROM (Agency or establishment) Federal Election Commission		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of the Inspector General			
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Daryl Flood Pat Dunn	5 TELEPHONE NUMBER 202-694-1388 1243	DATE 3/13/09	ARCHIVIST OF THE UNITED STATES Adrienne Thomas
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 <u>3</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 9-4-08	SIGNATURE OF AGENCY REPRESENTATIVE 		TITLE Acting Administrative Services
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED		

**FEDERAL ELECTION COMMISSION
OFFICE OF THE INSPECTOR GENERAL**

** The proposed disposition instructions for the following record series apply to records in all media and format, unless otherwise noted **

1. INVESTIGATIVE FILES

Investigative files constitute the FEC-OIG written record of investigative cases, including investigative reports and such related documents as correspondence and attachments. Also includes other forms of evidence, including physical evidence collected during the course of the investigation such as video tapes and other media. These contain information essential to the cases and should be kept with the file.

Item 1a: Significant Investigative Case Files

Investigative files with significant historical value, including cases that may attract public interest and/or substantial national or regional media attention; result in a congressional investigation; may involve Commissioners and senior level staff; result in substantive changes in FEC policies and procedures; or result in a criminal conviction, civil remedy, or significant administrative action.

Disposition: **PERMANENT**. If paper, cut off at end of fiscal year in which case is closed. Retire to Federal Records Center (FRC) five years after cutoff. Transfer to the National Archives ten years after cutoff. If electronic, transfer to the National Archives ten years after cutoff.

Item 1b: Non-Significant Investigative Files

All other investigative files not deemed to have significant historical value.

Disposition: **Temporary**. Cut off at end of fiscal year in which case is closed. Retire to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

2. HOTLINE AND OTHER MISCELLANEOUS FILES

These contain information or allegations of an investigative nature that do not result in the creation of a formal investigative file. They include anonymous or vague allegations that are deemed not to warrant an investigation, matters referred to other agencies for handling, and support files providing general information that may prove useful in Inspector General Investigations.

Disposition: **Temporary**. Cut off at end of fiscal year in which file is closed. Retire to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

3. GRAND JURY FILES (FEDERAL RULES OF CRIMINAL PROCEDURE 6(E))

Materials obtained by a jury under subpoena require special handling. These documents are segregated from the case file and kept under strict physical security while the case is open. Grand Jury materials sent to the FRC will be specially labeled and boxed to ensure against inadvertent release without court approval.

Item 3a: Significant Grand Jury Files

Grand Jury files with significant historical value, including cases that may attract public interest and/or substantial national or regional media attention; result in a congressional investigation; may involve Commissioners and senior level staff; result in substantive changes in FEC policies and procedures; or result in a criminal conviction, civil remedy, or significant administrative action.

Disposition: **PERMANENT**. If paper, cut off at end of fiscal year in which case is closed. Retire to Federal Records Center (FRC) five years after cutoff.

Transfer to the National Archives ten years after cutoff. If electronic, transfer to the National Archives ten years after cutoff.

Item 3b: Non-Significant Grand Jury Files

All other Grand Jury files without significant historical value.

Disposition: **Temporary**. Cut off at end of fiscal year in which case is closed. Retire to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

4. AUDITS, INSPECTIONS, AND EVALUATION FILES

Files produced during audits, inspections, and other reviews that assist management in identifying, analyzing and resolving program and organizational issues.

Item 4a: Significant Audits, Inspections, and Evaluation Files

Reports, audit resolution files, and other documents with significant historical value, including documents that attract substantial national or regional media attention; result in a congressional investigation; or result in substantive changes in FEC policies and procedures.

Disposition: **PERMANENT**. If paper, cut off at end of fiscal year in which case is closed. Retire to Federal Records Center (FRC) five years after cutoff. Transfer to the National Archives ten years after cutoff. If electronic, transfer to the National Archives ten years after cutoff.

Item 4b: Non-Significant Audits, Inspections, and Evaluation Files

Reports, audit resolution files, and other documents without significant historical value.

Disposition: **Temporary**. Cut off at end of fiscal year in which file is closed. Retire to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

5. PEER REVIEW FILES

Document the conduct of peer reviews either in other IG offices by FEC-OIG, or of the FEC-OIG by another OIG.

Item 5a: Investigative Peer Review Files

Investigative Peer Review Files-These files include documents that summarize the conduct of peer reviews of investigative units of other OIGs or of the FEC-OIG by another OIG.

Disposition: **Temporary**. Cut off at end of fiscal year in which file is closed. Transfer to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

Item 5b: Audit Peer Review Files

Include documents that summarize the conduct of peer reviews of the audit function of other OIGs or of the FEC-OIG's audit function by another OIG.

Disposition: **Temporary**. Cut off at end of fiscal year in which file is closed. Transfer to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

6. FINAL POLICY AND PROCEDURES FILES

These include all records that define or document the policies and procedures established for planning, directing, controlling, performing, and assessing OIG functions, including operations manuals, OIG policy bulletins, and standard operating procedures.

Disposition: **Temporary**. Cut off when superseded or obsolete. Transfer to FRC five years after cutoff. Destroy 10 years after cutoff.

7. SEMI-ANNUAL REPORTS

Summarized activities of the OIG during the six-month periods ending March 31 and September 30 of each year. The report is submitted to Congress by the Commission. The report includes description of significant problems, abuses, and deficiencies related to the administration of the FEC programs and operations; 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.

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

8. GENERAL LETTERS AND CORRESPONDENCE

These files contain the official copy of all general incoming letters and correspondence, and outgoing letters and correspondence signed by the Inspector General or designee on various subject matters, including compliance with various federal statutes, data calls, and other matters.

Disposition: **Temporary**. Cut off at end of calendar year. Destroy/delete 7 years after cutoff.

9. OFFICE OF INSPECTOR GENERAL PLANNING FILES

Discusses major program areas of the agency and contains OIG strategic plans in which the office plans to focus resources.

Disposition: **Temporary**. Cut off at end of fiscal year. Destroy/delete when no longer needed.

10. MANAGEMENT CHALLENGES REPORTS

Reports and related documents of the most serious management and performance challenges faced by the agency. The report is included in the annual Performance and Accountability Report prepared by the Office of the Chief Financial Officer.

Disposition: **Temporary**. Cut off at end of fiscal year in which report is prepared. Retire to FRC five years after cutoff. Destroy/delete 10 years after cutoff.

~~**11. DRAFTS AND NOTES**~~

~~Non record information that is included in the final record-keeping copy of an investigative case (i.e. extra copies), or is not necessary to understand the final disposition of an investigation. Also includes non-record information relating to audit, inspection, evaluation and litigation items as well as office management and general communications, both internal and external to the Commission.~~

~~Disposition: Destroy/delete when dissemination, revision, or updating is completed or when no longer needed for administrative purposes, whichever is later.~~