

# Request for Records Disposition Authority

(See Instructions on reverse)

Leave Blank (NARA Use Only)

To National Archives and Records Administration (NIR)  
Washington, DC 20408

Job Number

*NI-403-08-1*

1 From (Agency or establishment)

**Equal Employment Opportunity Commission**

Date Received

*5/5/08*

2 Major Subdivision

**Office of Inspector General**

### 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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

4 Name of Person with whom to confer

**Janice F. Gross**

5 Telephone (include area code)

**202-663-4369**

Date

*10-21-08*

Archivist of the United States

*Michael Kuff*

### 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 1 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       has been requested

Signature of Agency Representative

*Delphine G. Best*

Title

**Records Officer**

Date (mm/dd/yyyy)

**04-28-08**

| 7<br>Item Number | 8<br>Description of Item and Proposed Disposition  | 9<br>GRS or Superseded Job Citation | 10<br>Action taken (NARA Use Only) |
|------------------|--|-------------------------------------|------------------------------------|
| 1.               | <p>This schedule covers records of the Office of the Inspector General. The Office of Inspector General Investigative Files are covered by EEOC's Privacy Act System of Records Number: EEOC-16.</p> <p>See the following pages for records descriptions and disposition instructions.</p> |                                     |                                    |

# OFFICE OF INSPECTOR GENERAL

## 1. OFFICE OF INSPECTOR GENERAL INVESTIGATIVE CASE FILES

### A. Significant Investigative Case Files

Case files resulting from Office of Inspector General investigations of alleged fraud, abuse, irregularities and violations of laws and regulations. These case files meet on or more of the following criteria:

- The subject of the file is the agency chair, commissioners, chief operating officer, or an agency director, or the equivalent of these positions.
- The case attracts national or regional media attention.
- The case results in a Congressional investigation
- The case resulted in substantive changes in agency policies and procedures.

Volume: approx. 2 cu. ft. per year.

Disposition: **PERMANENT**. Cut off at the end of the fiscal year in which cases are closed. Transfer to the Federal Records Center 1 year after cut off. Transfer to NARA 10 years after cut off.

### B. Routine Investigative Case Files

Case files developed during investigations of known or alleged fraud, abuse, and irregularities or violations of laws and regulations. Cases are related to agency personnel, programs, and operations administered or financed by the agency, including contractors and others having a relationship with the agency. Files consist of investigative reports and related documents such as correspondence, interviews and background files. Also included are files containing information or allegations of an investigative nature that do not result in the establishment of a formal case file.

Volume: approx. 5 cu. ft. per year.

Disposition: **TEMPORARY**. Cut off at the end of the fiscal year in which cases are closed. Transfer to the Federal Records Center 1 year after cut off. Destroy 5 years after cut off.

## 2. OFFICE OF INSPECTOR GENERAL AUDIT CASE FILES

### A. Record Copy of Semiannual Report to Congress

Reports including audit of financial statements and other financial related audit work generated by the Office of Inspector General following evaluation of the agency's mission related programs, i.e. EEO charge processing, litigation or mediation programs, an audit of functions unique to

the agency. Each report has value for documenting the effectiveness of the agency's management of operations in a particular office in terms of the agency's mission, as defined in the agency's statutory authority.

Volume: approx. 1 cu. ft. per year.

Disposition: **PERMANENT**. Cut off at the end of the fiscal year in which the Report was created. Transfer to the Federal Records Center 1 year after cut off. Transfer to NARA 10 years after cut off.

(1) **Semiannual Report to Congress Background Materials**

Other records generated in the course of conducting the evaluation, including working files.

Disposition: **TEMPORARY**. Destroy 8 years after the end of the fiscal year in which the final report was issued.

**B. Significant Audit Case Files**

Case files for recurring program 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. During the course of an evaluation, work files (which can include survey questionnaires, rough draft proposals and correspondence) are used to prepare the final recommendations and report. The evaluation staff prepares a concise final report which is incorporated, along with the work files, into the case file on completion of each evaluation/study/initiative.

(1) **Final Reports**

Volume: approx. 5 cu. ft. per year.

Disposition: **TEMPORARY**. Cut off closed cases at the end of the fiscal year in which final audit/evaluation reports are closed. Transfer to Federal Records center 2 years after cut off. Destroy 10 years after cut off.

(2) **Background Materials**

Disposition: **TEMPORARY**. Cut off at the end of the fiscal year in which the final audit/evaluation report is issued. Transfer to the Federal Records Center 1 year after cut off. Destroy 5 years after cut off.

**C. Routine Audit Case Files**

Case files of internal audits and contractor related case files of agency programs that have no further administrative value after the record keeping copy is made. Includes records generated in the course of an evaluation and

copies maintained by individuals in working files.

Disposition: **TEMPORARY**. Cut off at the end of the fiscal year in which the case is closed. Destroy 8 years after cut off.