

REQUEST FOR RECORDS DISPOSITION AUTHORITY				JOB NUMBER <i>N1-412-07-70</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408				DATE RECEIVED <i>8/16/07</i>	
1. FROM (Agency or establishment) U.S. Environmental Protection Agency			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 Adisposition not approved or Awithdrawn in column 10.		
2. MAJOR SUBDIVISION Office of Inspector General					
3. MINOR SUBDIVISION Agency-wide and Headquarters					
4. NAME OF PERSON WITH WHOM TO CONFER John B. Ellis		5. TELEPHONE 2-2-566-1643	DATE <i>5/30/08</i>	ARCHIVIST OF THE UNITED STATES <i>Alta 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 <u>13</u> 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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.					
DATE <i>9/3/07</i>	SIGNATURE OF AGENCY REPRESENTATIVE John B. Ellis <i>John B. Ellis</i>		TITLE Agency Records Officer		
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION		9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)	
1.	EPA 698 Investigative Case Files		N1-412-01-9 <i>-02</i>		
2.	EPA 699 Management Assessment Reviews and Program Evaluations		N1-412-01-1 <i>^</i>		
3.	EPA 700 Audit Case Files		N1-412-86-4/4a-b and 5		
4.	EPA 701 Semiannual Reports of the Inspector General		N1-412-86-4/6		
5.	EPA 702 Suspension and Debarment Files		N1-412-86-4/7		
6.	EPA 703 Hotline Files		N1-412-02-2		
<i>24 copies sent to Agy, NWMD, NWMU, NR, NWCT-2P, NWCT-2R</i> <i>* Corrected for e-mail exchange d. by 8 York, 02/06/08</i>					

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 698

Status: Draft, 02/29/2008

Title: Investigative Case Files

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-07-70/1

Description:

Consists of case files developed during investigations of known or alleged fraud, abuse, irregularities and violations of laws and regulations. Cases relate to Agency personnel, programs, and operations administered or financed by the Agency, including contractors and others having a relationship with the Agency. 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.

Includes files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. 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 which may prove useful in Inspector General investigations.

Also includes all other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

Excludes: Unusually significant case files such as those that result in national media attention, congressional investigation, or substantive changes in Agency policy or procedure covered by EPA 145.

Disposition Instructions:

Item a: Files containing information or allegations that are of an investigative nature but do not relate to a specific investigation

- **Disposable**

- Close inactive records when case is closed.
- Destroy 5 years after file closure.

Item b: All other investigative case files except those that are unusually significant

Includes cases that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

- **Disposable**
- Close inactive records when case is closed.
- Destroy 20 years after file closure.

Guidance:

If evidence files are returned to program offices, they are to be maintained for the same length of time as stated in the disposition instructions.

Unusually significant case files that document major violations of criminal law or ethical standards are covered by EPA 145 as program development files.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General, Office of Investigations

- **Contact:** Doug Thrutchley
- **Telephone:** 202-566-0627

Related Schedules:

EPA 145

Previous NARA Disposal Authority:

N1-412-86-4/2, N1-412-01-9

Entry: 11/04/1993

EPA Approval: 08/13/2007

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 699

Status: Development, 07/31/2007

Title: Management Assessment Reviews and Program Evaluations

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Consists of reports and related documents of internal reviews of the Office of Inspector General (OIG) procedures or programs for economy, efficiency, and compliance with OIG policies and professional standards.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records after inspection is completed.
- Destroy 8 years after file closure.

Guidance:

The schedule was formerly called Inspection of Procedures or Programs.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General, Office of Management

- **Contact:** Melissa Heist
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-76-14, NC1-412-83-3/3, N1-412-86-4/3, N1-412-02-1

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 700

Status: Development, 07/31/2007

Title: Audit Case Files

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Consists of case files of internal audits of Agency programs, operations, and procedures, and of external audits of contractors and grantees.

Disposition Instructions:

Item a: Final report maintained at headquarters

- **Disposable**
- Close inactive records after final resolution of audit findings.
- Destroy 8 years after file closure.

Item b: Other copies of final report maintained in regional audit offices

- **Disposable**
- Close inactive records after final resolution of audit findings.
- Destroy 4 years after file closure.

Item c: Work papers

- **Disposable**
- Close inactive records upon completion of audit.
- Destroy 8 years after file closure.

Guidance:

The record copy of the final report and the work files are maintained by the Headquarters Office of Inspector General who is responsible for implementing the disposition for items a and c. Other copies maintained in regional audit offices should follow disposition instructions for item b.

Records used to document and track the Agency's response to audits are covered in EPA 082 for response to audit, evaluation, and investigation. AutoAudit software is covered by EPA 089 for information tracking systems.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item d for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General, Office of Audit

- **Contact:** Kim Hickman
- **Telephone:** 202-260-4916

Related Schedules:

EPA 082, EPA 089

Previous NARA Disposal Authority:

NC1-412-76-14/1a and b and 2, NC1-412-83-3/4a and b and 5, N1-412-86-4/4a and b, 5

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 701

Status: Draft, 01/31/2008

Title: Semiannual Reports of the Inspector General

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-07-70/4

Description:

Contains semiannual reports prepared for submission to Congress. The reports summarize the activities of the Office of Inspector General for the preceding six-month period ending March 31 and September 30.

Disposition Instructions:

Item a(1): Record copy - Nonelectronic

- **Permanent**
- Close inactive records upon transmission to Congress.
- Transfer to the National Archives in 5 year blocks 20 years after file closure.

Item a(2): Record copy - Electronic

- **Permanent**
- Close inactive records upon transmission to Congress.
- Transfer to the National Archives 5 years after file closure, with any related documentation or external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

Item a(3): Electronic copy of records transferred to the National Archives

~~• Disposable~~

- ~~• Close file upon transfer to the National Archives.~~
- ~~• Delete after electronic record copy is successfully transferred to the National Archives.~~

*Non-record
NARA approval not required*

Item b: All other copies

~~• Disposable~~

- ~~• Close inactive records upon transmission to Congress.~~
- ~~• Destroy 3 years after file closure.~~

*Non-record
NARA approval not required*

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

The following changes were made in the 01/31/2008 version:

- Divided item a into three subitems, a(1)-(3).
- Revised the titles of disposition items a(1)-(3).
- Revised the disposition instructin for item a(3).

Item c for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General

- **Contact:** Michael J. Binder
- **Telephone:** 202-260-9684

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-83-3/6, N1-412-86-4/6

Entry: 11/04/1993

EPA Approval: 08/13/2007

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 702

Status: Development, 07/31/2007

Title: Suspension and Debarment Files

Program: Inspector General

Applicability: Agency-wide

Function: 405 - Supply Chain Management

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Contains records relating to the suspension and debarment of contractors and grantees for misconduct or poor performance.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records upon completion of case.
- Destroy 8 years after file closure.

Guidance:

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General

- **Contact:**
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

N1-412-86-4/7

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 703

Status: Development, 07/31/2007

Title: Hotline Files

Program: Inspector General

Applicability: Headquarters

Function: 301-093 - Program Monitoring

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Contains documents relating to hotline complaints which include internal forms, memos and correspondence with responsible officials, synopses of case, and copies of closing reports.

Disposition Instructions:

Item a: Record copy

- **Disposable**
- Close inactive records upon completion of case.
- Destroy 10 years after file closure.

Guidance:

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item b for electronic copies created with word processing and electronic mail applications deleted
08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General, Office of Management

- **Contact:** John T. Walsh
- **Telephone:**

Related Schedules:

Previous NARA Disposal Authority:

N1-412-86-4/8, N1-412-02-2

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 698

Status: Development, 07/31/2007

Title: Investigative Case Files

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Consists of case files developed during investigations of known or alleged fraud, abuse, irregularities and violations of laws and regulations. Cases relate to Agency personnel, programs, and operations administered or financed by the Agency, including contractors and others having a relationship with the Agency. 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.

Includes files containing information or allegations which are of an investigative nature but do not relate to a specific investigation. 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 which may prove useful in Inspector General investigations.

Also includes all other investigative case files except those that are unusually significant for documenting major violations of criminal law or ethical standards by Agency officials or others.

Excludes: Unusually significant case files such as those that result in national media attention, congressional investigation, or substantive changes in Agency policy or procedure covered by EPA 145.

Disposition Instructions:

Item a: Files containing information or allegations that are of an investigative nature but do not relate to a specific investigation

- Disposable

*Superseded by version
of 02/29/2008
See Sandy York email of 2/11/2008*

- Close inactive records when case is closed.

- Destroy 5 years after file closure.

Item b: All other investigative case files except those that are unusually significant

- **Disposible**

- Close inactive records when case is closed.

- Destroy 20 years after file closure.

Guidance:

If evidence files are returned to program offices, they are to be maintained for the same length of time as stated in the disposition instructions.

Unusually significant case files that document major violations of criminal law or ethical standards are covered by EPA 145 as program development files.

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General, Office of Investigations

- **Contact:** Doug Thrutchley
- **Telephone:** 202-566-0627

Related Schedules:

EPA 145

Previous NARA Disposal Authority:

N1-412-86-4/2, >N1-412-01-9

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending

This schedule is in development. It may not be used to retire or destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 701

Status: Development, 07/31/2007

Title: Semiannual Reports of the Inspector General

Program: Inspector General

Applicability: Agency-wide

Function: 301-092 - Program Evaluation

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- Pending

Description:

Contains semiannual reports prepared for submission to Congress. The reports summarize the activities of the Office of Inspector General for the preceding six month period ending March 31 and September 30.

Disposition Instructions:

Item a: Record copy

- **Permanent**
- Close inactive records upon transmission to Congress.
- Transfer nonelectronic records to the National Archives in 5 year blocks 20 years after file closure.
- Transfer electronic records to the National Archives 5 years after file closure, with any related documentation or external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure.

Item b: All other copies

- **Disposable**
- Close inactive records upon transmission to Congress.

*Superseded
by version of 01/31/2008
See e-mail of 01/31/08*

- Destroy 3 years after file closure.

Guidance:

Reasons for Disposition:

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention has not changed.

Item c for electronic copies created with word processing and electronic mail applications deleted 08/24/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Office of Inspector General

- **Contact:** Michael J. Binder
- **Telephone:** 202-260-9684

Related Schedules:

Previous NARA Disposal Authority:

NC1-412-83-3/6, N1-412-86-4/6

Entry: 11/04/1993

EPA Approval: Pending

NARA Approval: Pending