

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK	
JOB NO NCL-112-83-3	
DATE RECEIVED 1-24-83	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
11-15-83 <i>Date</i>	<i>Paul H. May</i> <i>Archivist of the United States</i>

TO **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)
Environmental Protection Agency

2 MAJOR SUBDIVISION
Office of Inspector General

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER
Thomas Tasker

5. TEL EXT
382-5911

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of ~~13~~ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE 1/20/83	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Harold R. Masters</i> Harold R. Masters	E TITLE Chief, Records Management Staff
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7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1 - 13 6	<p>Inspector General Records</p> <p>The schedules covering investigative and audit records are being consolidated into one comprehensive schedule (Inspector General Records). The investigative records were previously covered by EPA Schedule-Appendix B, Schedule 7, items 24, 25, and 26 and the audit records were previously covered by EPA Schedule-Appendix B, Schedule 19, items 1 and 2.</p> <p>The schedule was also revised to make it consistent with current operations of the Office of the Inspector General.</p> <p>Attached is a copy of the EPA Records Control Schedule for the Inspector General Records.</p> <p><i>Mass data change sheet attached</i></p>	Appendix B Schedule 19	19

115-107

All FRC's & Agency sent 11-25-83 by DMW.

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

19

TITLE OF SCHEDULE
INSPECTOR GENERAL RECORDS

COVERAGE OF SCHEDULE
AGENCYWIDE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<p><u>Program Management Files.</u> Contains data relating to the management and operation of the Office of Inspector General's audit and investigation program. Records consist of correspondence, reports, program planning documents, personnel needs, and other program management matters.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file at end of year. Keep in office for 2 years, then transfer to the Federal Records Center. Destroy when 5 years old.</p>
2.	<p><u>Investigative Reports.</u> Case files of investigative reports and related papers on EPA personnel or private persons or concerns having relationship with EPA relating to violations of standards of conduct, regulations, or of Federal criminal law.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file when project or transaction is completed. Keep in office for 3 years, then transfer to the Federal Records Center. Destroy when 8 years old.</p>
3.	<p><u>Inspection of Procedures or Programs.</u> Reports and related documents of inspection of procedures or programs to detect conditions that may lead to violations of laws and regulations.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file after inspection is completed. Keep in office for 2 years, then transfer to the Federal Records Center. Destroy when 8 years old.</p>
4.	<p><u>Final Reports of Audits.</u> Final reports of internal audits on Agency systems and procedures, and external audits conducted on contractors and grantees. Included are the following types of audits: initial pricing, construction grant audits, overhead audits, internal Agency systems surveys, interim audits, and final audits. Documentation consists of report showing purpose and scope of audit, background data, survey contents, and conclusions and recommendations.</p>	
a.	<p><u>Official Copies.</u> Maintained at Headquarters.</p>	<p><u>Retention:</u> Retain 8 years.</p> <p><u>Disposition:</u> Break file upon completion of reports. Keep in office current fiscal year plus 2 additional years, then transfer to the Federal Records Center. Destroy when 8 years old.</p>
b.	<p><u>Other Copies.</u> Maintained in Regional Audit Offices.</p>	<p><u>Retention:</u> As below.</p> <p><u>Disposition:</u> Destroy in office when 4 years old or sooner if no longer needed for administrative or reference purposes.</p>

RECORDS MANAGEMENT MANUAL

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE
INSPECTOR GENERAL RECORDS

COVERAGE OF SCHEDULE
AGENCYWIDE

ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
5.	<p><u>Audit Workpaper Files.</u> Includes documentation in support of conclusions expressed in Final Audit. Reports of all internal and external audits conducted. Workpapers show a record of work performed, the method of analysis, the information collected and its source, and other information.</p>	<p><u>Retention:</u> Retain 5 years.</p> <p><u>Disposition:</u> Break file upon completion of audit. Keep in office current fiscal year plus 2 additional years after final resolution of audit findings, then transfer to the Federal Records Center. Destroy when 5 years old.</p>

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

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RETENTION PERIOD AND DISPOSITION

6. Semiannual Reports. Semiannual reports prepared by the Inspector General and submitted to Congress. The reports summarize the activities of the Office of Inspector General for the preceding six-month periods ending March 31 and September 30. For details on composition of these reports see Section 5, Public Law 95-452 dated October 12, 1978.

Retention:

- a. Record Copy. Permanent.
- b. Information Copies. Retain 3 years.

Disposition:

- a. Record Copy. Break file upon transmission to Congress. Keep in office for 5 years, then transfer to the Federal Records Center. Keep in FRC for 15 years, then offer to the National Archives in 5 years blocks when 20 years old.
- b. Information Copies. Destroy when 3 years old or sooner if no longer needed.

RECORDS MANAGEMENT MANUAL