

# 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 # **NI-478-08-1**

1 From (Agency or establishment)  
**Office of Personnel Management**

Date Received **11/1/07**

2 Major Subdivision

### 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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  
**Office of the Inspector General**

4 Name of Person with whom to confer  
**Mary Beth Smith-Toomey**

5 Telephone (include area code)  
**202-606-2150**

Date **11/2/07** Archivist of the United States  
*Michael W. ...*

### 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 \_\_\_\_\_ 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: *Mary Beth Smith-Toomey* Title: *OPM Records Officer* Date (mm/dd/yyyy): *11/1/2007*

Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	<p><b>See attached Records Schedule for OPM Inspector General Records.</b></p> <p><b>This will amend AMS 44-3 by creating a new section entitled Office Inspector General Records.</b></p>		

3.OIG.01

**OFFICE OF THE INSPECTOR GENERAL**

This grouping of records consists of documents relating to the operations of the Office of the Inspector General (OIG).

TITLE AND DESCRIPTION OF RECORDS	DISPOSITION
<b>ITEM NO. 1 Administrative Sanctions Files</b>	
<b>a. Health care provider debarment files</b>	
Documents and information related to actions against health care providers as authorized by 5 USC 8902a and 5 CFR 919 (2 CFR 180). Files include copies of OIG investigative reports and other forms of informational material on Federal Employees Health Benefits Program (FEHBP) providers, Administrative Sanctions' analyses and recommendations, notices to health care providers, contests, final decisions and other related materials.	
1. Temporary records – original paper records	Cutoff upon finalizing of debarment action. Destroy three years after debarment is finalized.
2. Digitized records: These are hard copy records that are scanned into electronic records.	Cutoff upon finalizing of debarment action. Destroy 15 years after termination or 15 years after most recent action, whichever is later.
<b>NOTE: <del>b.</del> Significant or precedent setting records</b>	
PERMANENT: These will be identified on a case-by-case basis, based on cases having a legal precedent, cases with a wide media attention, or cases having congressional attention.	<del>Cutoff upon finalizing of debarment action. Retain on-site for 25 years then transferred to the National Archives.</del>

3.OIG.02

**c. FEHBP carrier records**

Files maintained on carriers participating in the FEHBP. Files include carrier's plan/procedures to comply with OIG debarment/suspension guidelines, written and electronic transmittals between the carrier and Administrative Sanctions, enrollee requests for exception to a provider's debarment, and OIG's periodic audits of carrier compliance relative to OIG debarment and suspension guidance, and carrier semiannual activity reports.

Cutoff upon termination of the carrier's participation in the FEHBP. Retain for 3 years and destroy.

**d. Regulatory and statutory-related documents**

Documents and information related to the development, implementation and interpretation of Sanctions' regulatory and statutory authorities, and other material relevant to the sanctioning of health care providers.

Cutoff upon adoption of the regulation or the President's signing of the statute. Retain on-site for 10 years and then destroy.

**ITEM NO. 2 Audit files****a. Audit work papers that are used to support the findings in the final audit report**

Files that document the audit process and the resulting findings of an audit. These files are evidence of audit work performed including:

- Draft and final report
- Audit program
- Quality assurance reviews
- Evidence of audit work performed including analytical reviews with auditors' conclusions
- Audit documentation
- Correspondence related to the audit

Cutoff upon completion of all audit actions. Destroy 10 years after cutoff (audit is closed).

3.OIG.03

**b. Report file**

These documents are the official record files of the audit. They include the following:

- Draft report
- Final report
- Auditee's response to the draft report
- Audit resolution memorandums
- All other correspondence related to the draft and final report

Cutoff at the completion of audit actions. Destroy 20 years after cutoff (audit is closed).

*NOTE***Historical or significant audit case files**

~~PERMANENT~~ The agency will bring any historically significant files to NARA's attention for appraisal on a case-by-case basis.

~~Cutoff at the completion of audit actions. Maintain on-site for a minimum of 30 years or when longer needed for agency audit purposes, whichever is later, then transferred to the National Archives.~~

**ITEM NO. 3 Office of Investigations files****a. Investigative case files**

Investigative files document the evidence collected and actions taken during a criminal, civil or administrative investigation conducted by the OIG. The file will include the investigators' "Report of Investigation," and may also include original or copies of records generated or collected during the course of the investigation, such as medical records or bank statements, correspondence, legal documents and IG subpoenas. These files remain open until the case is closed by final action and all appeals are exhausted.

Cutoff when case closes. Transfer to FRC 5 years after cutoff. Destroy 15 years after cutoff.

3.OIG.04

**b. Major Investigation Case File**

Cutoff when case closes.  
Transfer to FRC 10 years after  
cutoff (case closes). Destroy  
15 years after cutoff (case  
closes).

**NOTE 2: Historical Case Files**

~~PERMANENT~~: The agency will bring any historically significant files to NARA's attention for appraisal on a case-by-case basis. .

~~Cutoff when case closes.  
Retain on-site for 50 years after  
the cutoff (case closes) or after  
the death of the subject of the  
investigation, whichever is  
greater, then transfer to the  
National Archives.~~

**d. Investigations Complaints Files**

Records of preliminary inquiries into allegations that do not evolve into formal investigations.

Cutoff when determination is made to not take investigative action. Retained on-site and then destroyed after 5 years after cutoff.

**e. Investigations case system**

Electronic records and agent's notes of the activities related to cases investigated by the OIG. This is the official record of the case, which includes all actions taken, evidence, status and disposition of the case.

Cutoff when case closes.  
Maintain on the tracking system for 5 years after cutoff (case closes). Then retained on-site for 10 years, after which, they will be destroyed.

3.OIG.05

**ITEM No. 4 Legal Records****a. Legal advisory files**

Case files related to legal opinions, advisories, and subpoenas.

Cutoff upon completion of case. Destroy 10 years after the legal opinion, advisory or subpoena is created.

**b. Litigation case files**

Files consisting of court or board pleadings; memoranda, studies, correspondence, appraisals, or similar materials; and court or board decisions.

Cutoff is termination of case. Destroy 20 years after cutoff (termination of case).

**c. Legislative files**

1. Files regarding development of legislation proposed for introduction in Congress.

Cutoff when proposed legislation is forwarded to Congress for introduction. Destroy 20 years after end of congressional session.

2. Files regarding development of regulations proposed for issuance by OPM, including internal memoranda, legislative history, bill reports, comments on proposed regulations, and related correspondence.

Cutoff at the issuance of the regulation. Destroy 20 years after cutoff (issuance of the regulation).

**NOTE! ~~to~~ Legal precedent files**

~~PERMANENT~~. The agency will bring any historically significant files to NARA's attention for appraisal on a case-by-case basis.

~~Retain on-site for 25 years after cutoff (issuance of regulation) then transferred to the National Archives.~~

3.OIG.06

**Item No. 5 Internal OIG Communications**

a. Electronic and paper e-mails, memorandums and letters pertaining to policies and/or issues unique to the Office of the Inspector General. These are records not related to a specific investigation, audit or evaluation/inspection.

Cutoff at the end of each fiscal year. Destroy 10 years after cutoff.

~~b. PERMANENT. The agency will bring any historically significant files to NARA's attention for appraisal on a case-by-case basis.~~

~~Cutoff at the end of fiscal year. Retain for 25 years then transferred to the National Archives.~~

**Item No. 6 President's Council on Integrity and Efficiency (PCIE) Records**

Correspondence from, to and between members of the organizations and offices who participate in the PCIE. These include meeting notices, agendas and minutes of the PCIE and committee meetings.

Cutoff at the end of calendar year. Retain for 5 years on-site after cutoff and then destroy.